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	U·S·DEPARTMENT OF THE INTERIOR OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT DIRECTIVES SYSTEM	Subject Number: PER - 18 Transmittal Number: 281 Date: 10/14/86

Subject: Restrictions of Financial Interests of Federal and State Employees

Approval: Jed D. Christensen **Title:** Director

1. Purpose. This directive sets forth the requirements, procedures, and guidelines for the administration of the Federal and State Ethics Program.

2. Definitions.

a. Coal mining operation - Means the business of developing, producing, preparing or loading bituminous coal, subbituminous coal, anthracite, or lignite, or of reclaiming the areas upon which such activities occur. (30 CFR 705.5 and 706.3)

b. Employee - Means any person employed by the Office of Surface Mining Reclamation and Enforcement within the U.S. Department of the Interior and any other person employed by the Federal Government who performs functions or duties under the Act without regard to the duration or nature of his or her appointment.

Also, means (i) any person employed by the State regulatory authority who performs any function or duty under the Act, an (ii) advisory board or commission members and consultants who perform any function or duty under the Act, if they perform decisionmaking functions for the State regulatory authority under the authority of State law or regulations. However, members of advisory boards or commissions established in accordance with State law or regulations to represent multiple interests are not considered to be employees. State officials may through State law or regulations expand this definition to meet their program needs. (30 CFR 705.5 and 706.3)

c. Senior employee - Means all Executive Level employees and officers and means an officer or employee designated by the Director, Office of Government Ethics, pursuant to 18 U.S.C. 207(d) to which subsection 207(b)(ii) and (c) shall apply. (43 CFR 20.735-61)

d. Special government employee - Means any employee or officer of the Department who is retained, designated appointed, or employed to perform temporary duties, with or without compensation, for not to exceed 130 days during any period of 365 consecutive calendar days, either on a full-time, part-time or intermittent basis (18 U.S.C. 202). (43 CFR 20.735-1)

e. Performing any function or duty under this Act - Means those decisions or actions, which if performed or not performed by an employee, affect the programs under the Act. (30 CFR 705.5 and 706.3)

f. Direct financial interest - Means ownership or part ownership by an employee of lands, stocks, bonds, debentures, warrants, partnership shares, or other holdings and also means any other arrangement where the employee may benefit from his or her holding in or salary from coal mining operations. Direct financial interests include employment, pensions, creditor, real property and other financial relationships. (30 CFR 705.5 and 706.3)

g. Indirect financial interest - Means the same financial relationships as for direct ownership, but where the employee reaps the benefits of such interests, including interests held by his or her spouse, minor child and other relatives, including in-laws, residing in the employee's home. The employee will not be deemed to have an indirect financial interest if there is no relationship between the employee's functions or duties and the coal mining operation in which the spouse, minor children or other resident relatives hold a financial interest. (30 CFR 705.5 and 706.3)

h. Apparent conflict - Means a situation where a member of the public would have reasonable cause to believe that an employee may be in conflict, even though he or she might not be. It is not necessary for an employee to have actually taken a Government action related to private financial interests for there to be an apparent conflict. (43 CFR 20.735-21)

i. Prohibited financial interest - Means any direct or indirect financial interest in any coal mining operation. (30 CFR 705.5 and 706.3)

j. Participated personally and substantially - Means to have participated directly through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise, and includes the participation of a subordinate when actually directed by the former Government employee in the matter, and that the former employee's involvement must be of significance to the matter or form a basis for a reasonable appearance of such significance. A finding of substantiality should be based not only on the effort devoted to the matter but on the importance of the effort. (43 CFR 20.735-61)

3. Policy/Procedures.

a. Director - Serves as the Ethics Counselor for the Office of Surface Mining Reclamation and Enforcement (OSMRE) and is authorized by Section 201(f) and 517(g) of the Act to establish the methods by which the Agency's provisions are monitored and enforced. Pursuant to the regulations in 5 CFR 734, 735 and 737, 30 CFR 705 and 706, and 43 CFR 20.735 the Director shall:

(1) Provide advice, assistance and counseling to the Head of all State regulatory authorities, the Head of each other Federal Agency and the Head of each other bureau or office within the U.S. Department of the Interior concerning implementation of the regulations and all financial interest matters covered by the Act.

(2) Furnish blank statements to recipients by December 15 of each year. Also provide the name, address, and telephone number of the person whom they may contact for advice and counseling.

(3) Review the statements filed to determine if the listed employment and financial interests constitute a direct or indirect financial interest in an underground or surface coal mining operation.

(4) Certify on each statement which is filed that a review has been made, that financial interests have been resolved, and that no other prohibited interests have been identified.

(5) Recommend to the State Attorney General, or such other State Official designated by State law or the Governor of the State, the remedial action to be ordered or initiated, recommend to the Secretary that action to be taken to impose the penalties of the Act or other appropriate action to be taken with respect to reimbursement, grants or State programs.

(6) Resolve prohibited financial interests promptly by notifying and ordering remedial action within 90 days, or by imposing the criminal or regulatory penalties of the Act.

(7) Monitor the Programs by using reports requested from the Head of all State regulatory authorities, the Head of each other Federal Agency and the Head of each other bureau or office within the U.S. Department of the Interior and by using periodic audits performed by the Office of Inspector General, U.S. Department of the Interior.

(8) Prepare for the Secretary a consolidated report to the Congress as part of the annual report submitted under Section 706 of the Act, on the actions taken and not taken during the preceding calendar year under Sections 201(f) and 517(g).

(9) Report to the Solicitor, U.S. Department of the Interior, through the Office of Inspector General, U.S. Department of the Interior, cases of knowing violations of the provisions in Section 201(f). The Solicitor will transfer such reports to the U.S. Department of Justice.

(10) Submit to the Department of the Interior Ethics Counselor such statements and information as requested in accordance with 43 CFR 20.735-37.

(11) Designate other qualified employees to assist with the operational duties associated with the Program.

b. Deputy Director, Administration and Finance and Assistant Director, Budget and Administration - Serves as the Deputy Ethics Counselors for OSMRE and as such shall:

(1) Provide advice and counseling concerning matters related to the Program.

(2) Annually inform recipients of the requirement to file his or her statement and to furnish the name, address and phone number of the person whom they may contact for advice and counseling.

(3) Report to the Ethics Counselor those who have prohibited financial interests which violate the provisions in 5 CFR 734, 735 and 737, 30 CFR 705 and 706, or 43 CFR 20.735.

(4) Recommend to the Ethics Counselor what remedial action should be taken when a prohibited financial interest has been identified.

(5) Review cases submitted by the Assistant Ethics Counselor to determine if the employment, financial, property or creditor interests reported reveal any prohibited interests or any apparent conflicts of interest.

(6) Certify on the statistical report to the Department for each filing year that all required reviews of Federal statements have been completed or are still under review.

c. Associate Ethics Counselor and Assistant Ethics Counselors - Assists the Deputy Ethics Counselors of OSMRE as follows:

(1) Provide advice and counseling concerning matters related to the Program.

(2) Prepare a variety of correspondence on the Program for the signature of the Ethics Counselor or Deputy Ethics Counselors.

(3) Annually, by December 15 of each year, notify those recipients who are required to file a statement.

(4) Provide the necessary forms and instructions for filing required statements.

(5) Review and evaluate statements filed to ensure that the financial interests listed are in compliance with governing rules and regulations. Complete review of DI-212As by March 3 of each year and all other statements by the end of the filing cycle for each calendar year.

(6) Annually, by March 18 of each year, prepare a statistical report for submission to the Department Ethics Counselor in accordance with 43 CFR 20.735-37.

(7) Annually, by August 31 of each year, prepare correspondence for the signature of a Deputy Ethics Counselor regarding the reporting requirements of positions by State and Federal entities under the Surface Mining Control and Reclamation Act of 1977.

(8) Annually, by October 31 of each year, prepare OSMRE's revised portion of Appendix C of 43 CFR 20.735-31 and submit the revision to the Department Ethics Counselor.

(9) Maintain in strict confidence the statement files and destroy all Federal statements six years after termination of employment.

d. Personnel Office - Provides the following information regarding the Ethics Program:

(1) The Chief, Branch of Personnel Services shall:

(a) Include in all vacancy announcements, the following statement:

The applicant selected for this position will be required to file, prior to final appointment processing and annually thereafter, a statement of employment and financial interests in coal mining operations, in accordance with the Surface Mining Control and Reclamation Act of 1977.

(b) Arrange for the prospective employee to voluntarily file the appropriate statement (DI-212A or SF-278 with DI-278) to the Assistant Ethics Counselor for review before he or she enters on duty.

Early counseling will identify potential conflict problems before the prospective employee enters on duty and will allow the prospective employee to consider any financial interest restrictions before he or she decides to accept the position.

(c) Provide copies of the appropriate statement (DI-212A or SF-278 with DI-278) to all new OSMRE employees.

(d) Submit to the Assistant Ethics Counselor for review all statements that are filed by new employees.

(e) Notify the Assistant Ethics Counselor of separations in the Senior Executive Service and Schedule C positions. The Assistant Ethics Counselor will, if necessary, request termination reports.

(2) The Chief, Branch of Classification, Pay, and Evaluation shall:

(a) Provide the Assistant Ethics Counselor with a list of positions and job descriptions of Senior Executive Service and Schedule C employees.

(b) Assist the Assistant Ethics Counselor with compiling a list of positions which perform policymaking determinations with respect to the Agency's programs or policies. This list will be published in Appendix C of 43 CFR 20.735 for each filing year.

e. OSMRE Employees in Senior Executive Service (SES) or Schedule C Positions -

(1) Each employee shall comply with Title II, "Executive Personnel Financial Disclosure Requirements," of the Ethics in Government Act of 1978 and must:

(a) File within 30 days of entrance to duty a report.

(b) Annually, by May 15 of each year, file with the Assistant Ethics Counselor a report.

(c) File within 30 days of termination from employment a report, unless the employee has accepted employment in another SES or Schedule C position.

f. OSMRE Employees in Positions other than SES or Schedule C - Each employee that is not subject to comply with Title II, "Executive Personnel Financial Disclosure Requirements," of the Ethics in Government Act of 1978 shall:

(1) File upon entrance to duty a statement.

(2) Annually, on February 1 of each year, file a statement.

g. All OSMRE Employees -

(1) All employees must comply with the following regulations:

(a) Have no direct or indirect financial interests in coal mining operations. The provisions in the Act make compliance with the financial interest requirements a condition of employment for OSMRE employees.

Criminal penalties are imposed by the Act. The Act provides that whoever knowingly violates the provision of the Act shall, upon conviction, be punished by a fine of not more than $2,500, or by imprisonment for not more than one year, or both. (30 CFR 706)

(b) Restrictions of 43 CFR 20.735, Subpart B-"Ethical and Other Conduct and Responsibilities of Employees."

(c) Obtain advice from the Deputy Ethics Counselors through employee's supervisor for any outside employment which may conflict with the employee's official responsibilities in accordance with 43 CFR 20.735-23.

(2) To comply with conflict of interest laws, regular employees are prohibited from violating the following criminal statutes:

(a) Except as authorized by law, directly or indirectly receive or solicit compensation for any services rendered by the employee or another on behalf of another person before a Government agency in connection with a particular matter in which the United States is a party or has an interest (18 U.S.C. 203).

(b) Except in the discharge of his or her official duties, represent anyone else before a court or Government agency in a particular matter in which the United States is a party or has an interest. This prohibition applies to both paid and unpaid representation of another (18 U.S.C. 205).

(c) Participate in his or her governmental capacity in any matter in which he or she, his or her spouse, dependent child, outside business associate, or person with whom he or she is negotiating for employment has a financial interest (18 U.S.C. 208).

(d) After his or her Government employment has ended, represent any other person (except the United States) before a Government agency or court in connection with a particular matter in which the United States is a party or has an interest and in which he or she participated personally and substantially for the Government (18 U.S.C. 207(a)).

(e) For two years after his or her Government employment has ended, represent any other person (except the United States) before a Government agency or court in connection with a particular matter in which the United States is a party or has an interest and which was actually pending under his or her official responsibility during the last year of his or her Government service (18 U.S.C. 207(b)(i)). This temporary restraint gives way to the permanent restraint described in the paragraph above if the matter is one in which he or she participated personally and substantially for the Government.

(f) Receive any salary, or supplementation of his or her Government salary, from a private source as compensation for his or her services to the Government (18 U.S.C. 209).

(3) To comply with conflict of interest laws, senior employees are prohibited from violating the following criminal statutes:

(a) Within two years after his or her Government employment has ceased, knowingly represent or aid, counsel, advise, consult, or assist in representing any other person (except the United States) by personal presence at any formal or informal appearance before (1) the United States (2) in connection with any particular Government matter involving a specific party or parties (3) if such matter was one in which he or she participated personally and substantially.

(b) For a period of one year after his or her Government employment has ceased, (other than a special government employee who serves for less than sixty days in a calendar year) (i) knowingly act as an agent or attorney for, or otherwise represent, anyone other than the United States in any formal or informal appearance before, or (ii) with the intent to influence, make any written or oral communication on behalf of anyone other than the United States to (A) the Department, or any of its employees, (B) in connection with any particular Government matter, whether or not involving a specific party, which is pending before the Department, or in which it has a direct and substantial interest.

h. Detailed Employees to OSMRE - Detailed employees are required to file a DI-212A (where applicable, a SF-278 and DI-278) in accordance with 30 CFR 706.3 upon commencement of their detail. Because not all details require coordination through the Personnel Office, it is the responsibility of the supervisor under whom the detailee is assigned to notify the Assistant Ethics Counselor of the detail so that a statement may be requested and filed with the Agency.

4. Reporting Requirements.

a. SF-278 & DI 278 - See attached Appendix I.

b. DI-212A - See attached Appendix II.

c. OSM Form 23 - See attached Appendix III.

The Act provides that whoever knowingly violates the provisions of Section 201(f) and 517(g) shall, upon conviction, be punished by a fine of not more than $2,500, or by imprisonment for not more than one year or by both. Accordingly, an employee who fails to file the required statement will be considered to be in violation of the intended employment provisions of the Act and will be subject to removal from his or her position.

5. References.

a. Executive Order 11222, dated May 8, 1965.

b. Surface Mining Control and Reclamation Act of 1977, Sections 201(f) and 517(g), dated August 3, 1977.

c. 5 CFR 734, 735 and 737, "Public Financial Disclosure, Conflicts of Interests, and Standards of Conduct for Federal Employees."

d. 30 CFR 705 and 706, "Surface Mining Control and Reclamation Restrictions of Financial Interests of State and Federal Employees."

e. The Ethics in Government Act of 1978, dated October 26, 1978.

f. 43 CFR 20, Department of the Interior "Employee Responsibilities and Conduct."

6. Effects on Other Documents. Supersedes PER 18, Transmittal No. 239, dated November 27, 1984.

7. Effective Date. Upon issuance.

8. Contact. Division of Personnel, (202) or FTS 343-4665.

Executive Personnel Financial Disclosure Report

Instructions for Completing SF 278

Privacy Act Statement

The Ethics in Government Act of 1978, as amended, 5 U.S.C. App. §201 et seq. requires the reporting of this information. This information will be reviewed by Government officials to determine compliance with applicable Federal laws and regulations, and the report may be disclosed upon request to any requesting person pursuant to section 205 of the Act or as otherwise authorized by law. You may inspect applications for review of your own form upon request. Knowing or willful failure to file or report information required to be reported by section 202 of the Act (or falsification) may subject you to a civil penalty of not more than $5,000 and to disciplinary action by your employing agency or other appropriate authority. Knowing or willful falsification of information required to be filed by section 202 of the Act may also subject you to criminal prosecution under 18 U.S.C. §1001, leading to a fine of not more than $10,000 or imprisonment for not more than five years or both.

I. Introduction

Scope of Disclosure

The extent of the reporting requirement is noted in each schedule. The applicable reporting periods and a description of who must complete each schedule and part are described on page 1 of the form.

In addition to your separate financial information, you are required to report information concerning your spouse and dependent children in several schedules of the form. However, no report is required with respect to your spouse if he or she is living separate and apart from you with the intention of terminating the marriage or providing for permanent separation. In addition, no report is required with respect to any income or obligations of an individual arising from the dissolution of a marriage or the permanent separation from a spouse. There are other exceptions to the reporting of assets and income, transactions, and liabilities of a spouse or dependent child which are discussed in the instructions applicable to those subjects.

A basic premise of the statutory financial disclosure requirements is that those having responsibility for review of reports filed pursuant to the Act or permitted public access to reports, must be given sufficient notice by reporting individuals in their reports concerning the nature of their outside interests and activities so that an informed judgment can be made with respect to the individuals' compliance with applicable conflict of interest laws and standards of conduct regulations. Therefore it is important that you carefully complete the attached form. This report is a safeguard for you as well as the Government in that it provides a mechanism for determining actual or potential conflicts between your public responsibilities and your private interests and activities and allows you and your agency to fashion appropriate protections against such conflicts when they first appear.

Definitions and Terms

- **Category of Amount**
  Reportable financial interests are disclosed either by exact amount or by category of amount, depending on the interest as shown in the form. You may, but you are not required to, indicate an exact amount where the form provides for a category of amount or value.
- **Dependent Child**
  The term "dependent child" means your son, daughter, stepson, or stepdaughter if such person is either (i) unmarried, under age 21, and living in your household, or (ii) a "dependent" of yours within the meaning of section 152 of the Internal Revenue Code of 1954.
- **Value**
  The term "value" generally means a good faith estimate of the dollar value if the exact value is neither known nor easily obtainable by you. When valuing assets, you may use a number of methods in addition to a good faith estimate. These are specifically set forth in the instructions under Schedule A.
- **Relative**
  The term "relative" means an individual who is your father, mother, son, daughter, brother, sister, uncle, aunt, great aunt, great uncle, first cousin, nephew, niece, husband, wife, grandfather, grandmother, grandson, granddaughter, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, half sister, your spouse's grandfather or grandmother or your fiance or fiancee.

II. Who Must File

a. Candidates for nomination or election to the office of President or Vice President.

b. Presidential nominees to positions requiring the advice and consent of the Senate, other than those nominated for judicial office or for appointment to a rank in the uniformed services at a pay grade of 0-6 or below.

c. The following newly elected or appointed officials:
   - The President;
   - The Vice President;
   - Officers and employees (including special Government employees, as defined in 18 U.S.C. §202) whose positions are classified at GS-16 or above of the General Schedule, or whose basic rate of pay (excluding "step" increases) under other pay schedules is equal to or greater than the rate for GS-16 (step 1) (a group which includes all members of the Senior Executive Service);
   - Members of the uniformed services whose pay grade is 0-7 or above;
   - Officers or employees in any other position determined by the Director of the Office of Government Ethics to be of equal classification to GS-16;
   - Administrative law judges;
   - Employees in the excepted service in positions which are of a confidential or policy-making character, unless their positions have been excluded by the Director of the Office of Government Ethics;
   - The Postmaster General, the Deputy Postmaster General, each Governor of the Board of Governors of the U.S. Postal Service and officers or employees of the U.S. Postal Service or Postal Rate Commission whose basic rate of pay is equal to or greater than the minimum rate of basic pay fixed for GS-16 (step 1), and
   - The Director of the Office of Government Ethics and each designated agency ethics official.

d. Incumbent officials holding positions referred to in section II(c) of these instructions if they have served 61 days or more in the position during the preceding calendar year.

e. Certain individuals who perform staff functions in support of an advisory committee composed in whole or in part of special Government employees (see 5 C.F.R. §734.202(b)).

III. When to File

a. Within 30 days after becoming a candidate for nomination or election to the office of President or Vice President or by May 15 of that calendar year, whichever is later, and on or before May 15 of each succeeding year that such an individual continues to be a candidate on such date.

b. Within 5 days after the transmittal by the President to the Senate of the nomination of an individual referred to in section II(b) of these instructions or, prior to that time, at any time after the President or President-elect has publicly announced his or her intention to nominate the individual.

c. Within 30 days after assuming a position described in section II(c) unless such an individual has left another position described in section II(c) within 30 days prior to assuming the new position, or has already filed a report with respect to nomination for the new position (section II(b)) or as a candidate for the position (section II(a)).

d. No later than May 15 annually, in the case of those in a position described in section II(c). In the event such an individual terminates employment, and does not accept another position described in section II(c), the report must be filed no later than the 30th day after termination.

IV. Where to File

a. Candidates for President and Vice President, with the Federal Election Commission.

b. The President and Vice President, with the Office of Government Ethics.

c. Members of a uniformed service, with the Service Secretary concerned.

d. All others, with the designated agency ethics official at the agency in which the individual is employed or in which he or she will serve.

e. In the case of individuals appointed by or to be nominated by the President to positions requiring confirmation of the Senate, see 5 CFR §734.604(c) for expedited procedure.

V. General Instructions

a. This form consists of the front page and four Schedules. You must complete each Part of all Schedules. If you have no information to report in any Part of a Schedule, you should indicate "None". A report is considered incomplete if any Part of any Schedule is left blank. Schedule A combines a report of income items (other than from current employment by the United States Government) with the disclosure of property interests (generally referred to here as assets). Schedule B deals with transactions in real prop-

erty or certain other assets, as well as gifts and reimbursements. Schedules C and D relate to liabilities and employment relationships. After completing the first page and each part of the Schedules (including extra sheets of any Schedule where continuation pages are required for any part), consecutively number all pages.

b. The information to be disclosed is only that which the Ethics in Government Act of 1978, as amended, and 5 CFR Part 734 specifically require. You may, however, include in any section of the form such additional information, beyond the Act's requirements, as you may wish to disclose for purposes of clarification.

c. Combine on one form the information applicable to yourself, your spouse and dependent children; or if more convenient, use separate schedules to report the required information applicable to family members. You may, if you desire, distinguish any entry for a family member by preceding the entry with an (S) if it is for a spouse or a (DC) if it pertains to a dependent child.

d. Definitions of the various terms used in these instructions and detailed information as to what is required to be disclosed are contained in 5 CFR Part 734.

e. In the case of references to entities which do not have listed securities or are not described in standard reference materials (such as Moody's Manuals)—whether such entities are operating trades or businesses, or private investment pools or other private vehicles (such as IRA's) which are themselves the media for indirect financial interests in trades or businesses attributable to you for purposes of the application of Federal law—you must provide sufficient information about these private entities to give reviewers of disclosure reports an adequate basis for the conflicts analysis required by the Act. Thus, except in the case of private investment vehicles (for which full disclosure of holdings is required), you must disclose the primary trade or business of private entities, as well as attributed interests and activities not solely incidental to such a primary trade or business. For instance, if your family swimming pool services corporation incurs a liability to purchase an apartment house for investment in addition to its pool services business, you will have to report your indirectly allocable share of the corporation's liability, the apartment house investment, and its purchase, in addition to the items you are required to report about your interest in the family corporation. You would not, of course, have to report the day-to-day transactions of the pool services business nor such things as the normal and customary temporary liabilities it incurs with its suppliers.

f. If you need assistance in completing this form, contact the designated agency ethics official of the agency in which you serve, will serve or have served.

Schedule A

I. General Instructions

Two of the general disclosure requirements of the Act concern certain interests in property (generally referred to here as assets) and items of income. Schedule A is designed to enable you to meet both of these reporting requirements. Generally a description of your, your spouse's or dependent child's assets and sources of income is required to be listed in BLOCK A of the Schedule. Reading from left to right across the page from each description of the asset or income source, you will be able to report in BLOCK B the value of each asset, and in BLOCK C the type and amount of income generated by that asset or received from the non-asset source. BLOCK D is a question designed to lead incumbents and termination filers to Schedule B for certain of the items they have listed in BLOCK A.

On Schedule A are two examples which are representative of the reporting scheme of this Schedule. The first example represents the proper method of reporting a stock of the XYZ Company held by the reporting individual at the end of the reporting period which then had a value of $40,000. The individual had also received dividends of $1,500 and had purchased the stock during the reporting period. The second example represents the proper method of reporting the source of $50,000 of earned income from private law practice as well as the $12,500 the reporting individual maintained in the capital account in the law firm at the end of the reporting period. If, in the first example, the XYZ stock had been sold rather than purchased, there would be no entry in BLOCK B because the individual no longer owned the stock at the end of the reporting period, but there would be an entry for capital gains as well as dividends in BLOCK C if they were realized during the period.

Normally you will have to list an item only once in BLOCK A with all other value and income information associated with that item shown on the same line to the right. However, when you have a number of different kinds of financial arrangements and transactions involving one entity, a full disclosure of all the required information for that entity may require more than one line. You may always use more than one line for clarification if you choose.

Note: Specific regulations for the reporting of interests in property and income are found in 5 CFR 734.301(a) and (d).

II. Property Interests and Assets
(BLOCKS A and B)

A. Items to Report

Report the identity and category of valuation of any interest in property (real or personal) held by **you, your spouse or a dependent child, in a trade or business, or for investment or the production of income** which has a fair market value which exceeds $1,000 as of the close of the reporting period. These interests include, but are not limited to, stocks, bonds, pension interests and annuities, futures contracts, mutual funds, IRA assets, tax shelters, beneficial interests in trusts, income-producing bank accounts, real estate, commercial animals, crops and collectibles held for the production of income. **Exceptions:** Exclude your personal residence and any personal liability owed to you, your spouse or dependent child by a relative. Exclude also any deposits aggregating $5,000 or less in a personal savings account in a single financial institution. A personal savings account includes a certificate of deposit or any other form of deposit in a bank, savings and loan association, credit union or similar institution. With respect to assets of a spouse or a dependent child, do not report items

(i) which represents your spouse's or dependent child's sole financial interest or responsibility and of which you have no knowledge,

(ii) which are not in any way, past or present, derived from your income, assets, or activities, and

(iii) from which you neither derive, nor expect to derive, any financial or economic benefit.

Note: It is very difficult for most individuals to meet all three parts of this test, especially (iii). For instance, if you file a joint tax return with your spouse, you derive a financial or economic benefit from the items involved and you are charged with knowledge of those items. Therefore, those asset and income items do not fit the test.

A personal residence from which no income is derived should not be reported as a property interest because it is not held for investment or production of income. However, if you hold residential property which is used for investment or income purposes, such as a summer home rented during parts of the year, you must report that interest.

In the case of personal property such as antique collections and related holdings, the Office of Government Ethics deems intermittent sales from such a collection or holdings to demonstrate that they are held for investment or the production of income.

Valuation Method

The statute provides several methods you may use for determining **valuation**:

Option 1—any good faith estimate of the value of the property if the exact value is unknown or not easily obtainable;

Option 2—value based upon a recent appraisal of the property interest;

Option 3—the date of purchase and the purchase price of your interest;

Option 4—the assessed value of the property for tax purposes adjusted to reflect current market value if the tax assessment is computed at less than 100% of current value (if Option 4 is used, describe the manner in which you adjusted the assessed value).

Option 5—the year-end book value of non-publicly traded stock, or the year-end exchange value of corporate stocks, or the face value of corporate bonds, or comparable securities;

Option 6—the net worth of your interest (as in a business partnership or other jointly held business interest);

Option 7—the equity value of your interest (as in a solely owned business or commercial enterprise), and

Option 8—actual value (e.g., savings accounts) or any recognized indication of value (such as last sale on a stock exchange).

You need not disclose which methods you chose unless you wish. This is a change from prior forms.

B. What to Show on the Form

Enter the identity of the asset in BLOCK A and then show the applicable value in BLOCK B. Only

the category of value, rather than the actual value of the property interest or asset, must be shown.

For assets such as stocks, bonds, and securities, report any holdings **by you, your spouse or dependent child** from one source totaling more than $1,000 in value. **Identify the holding and show the category of value.** When identifying shares of publicly traded stocks, the common abbreviation of the name of the corporation may be used. If you have stock interests through an investment trust or mutual fund, and the holdings of the trust or fund are a matter of public record, you may—instead of identifying the fund's share holdings—identify your interest by simply giving the name of the trust or mutual fund. If you hold different types of securities of the same corporation (e.g., bonds and stocks of "X" Corporation), these holdings should be considered as being from the same source for purposes of determining whether the aggregate value of the interest is below or above the $1,000 value.

To report interests in a business, a partnership, or joint venture, or the ownership of property held for investment or the production of income, identify the character of your ownership interest, and, unless a publicly traded security, the nature and location of the business or interest. Thus, in the case of non-publicly traded securities, show the nature and address of the business (in addition to its name). For example, the entry for a holding of farm land might show, under BLOCK A: "sole ownership of 100 acres of unimproved dairy farm land on Rural Route #1 at Pine Bluff, Madison County, Wisconsin."

In the case of holdings that are essentially non-public such as private trades or businesses, investment pools or other private investment vehicles, sufficient disclosure must be made to give reviewers an adequate basis for the conflicts analysis required by the Act. Therefore, you must disclose the primary trade or business of private entities, as well as interests and activities not solely incidental to such a trade or business. For example, if your family is involved in a private real estate investment business but as a side interest buys stock through the business in a bank, you must disclose in addition to real estate, (by type and general location), that the family business holds an interest in a bank. In addition, while under the general rules of Schedule A an individual who directly holds an IRA (Individual Retirement Account) would have to indicate its value and the income derived from it (even though non-taxable for Federal income tax purposes), without further disclosure of what financial interests are attributable to the individual by virtue of the IRA, it is not possible to evaluate the individual's compliance with applicable laws and regulations. If the IRA were invested solely in a mutual fund such as "Templeton World Fund, Inc." and the investment was disclosed in Schedule A, that would be sufficient, as that fund's portfolio is detailed in Moody's Bank and Finance Manual and could be evaluated. If, however, the IRA was privately invested, detailed disclosure of the investment would be required on Schedule A in the same amount of detail as if the investment were directly held.

b. **Trusts**

With respect to trusts in which a beneficial interest in principal or income is held, report trust interests and trust assets which had a value in excess of $1,000. You need not report the identity of assets of a trust of which you are the beneficiary if the interest is:

i. a "qualified blind trust" or "qualified diversified trust", which has been certified by the Office of Government Ethics, or

ii. an "excepted trust", that is, one which—

A. was not created by you, or your spouse or dependent children, and

B. the holding or sources of income of which you, your spouse and dependent children have had no knowledge.

In such cases, in lieu of disclosing the source and assets of the trust, you should show in BLOCK A the identity of the trust including the date the trust was created, and the classification of the trust interest as a "qualified blind trust", a "qualified diversified trust", or an "excepted trust". Although **you need not report the identity of the assets of a qualified or excepted trust, the category of amount of the trust income, if it exceeded $100, must be reported** in BLOCK C.

Note: You are not permitted by the statute to "create" an excepted trust by avoiding previous sources of knowledge upon entering Government service. See subpart D of 5 CFR Part 734.

It is not necessary to identify those assets of a trust of which a spouse or dependent child is a beneficiary if the trust meets the same three part test set forth in the first paragraph under II A above. However, in applying the test, if the trust is one set up for the education of your **minor** children, you do receive a financial benefit from such a trust and must disclose the assets unless it is an "excepted trust" discussed immediately above.

Except for one of the three trusts described above, you must identify each individual investment holding of a trust which had a value in excess of $1,000. For example, in BLOCK A an entry such as "trust held by First National Bank (Boston, MA) consisting of ITT stock, U.S. Treasury certificates, and Dallas Municipal Bonds" might be made. In BLOCK B the applicable value of each trust asset would be entered. (And, as described under IV B 5. Trust Income, below, the income from each asset would be entered in BLOCK C as well as income from assets of the trust sold during the reporting period.)

III. Earned and Other Non-Investment Income
(BLOCKS A and C)

A. Items to Report

For yourself, report the identity of the source in BLOCK A and amount in BLOCK C of non-investment income exceeding $100, from any one source, other than income from the United States Government for current Government services. Such income includes fees, salaries, commissions, compensation for personal services, pension payments, honoraria, etc. Report these items on the same line as any related interest in property (if any).

For your spouse, report the source, **but not the amount,** of your spouse's non-investment income exceeding $1,000 from any one source. No report of the earned or non-investment income of your dependent children is required.

B. What to Show on the Form

1. HONORARIA—Means payment of money or anything of value to **you or your spouse**, for an appearance, speech, or article. (See 2 U.S.C. §441i for full definition.) For each honorarium **you** received in excess of $100 **show the identity of the source in BLOCK A, the date and net amount** in BLOCK C. For your spouse, you must show only the source of any honorarium over $1,000 and the date of the event for which it was received. List each honorarium separately. For example, if you received $1,400 for a speech before the Chicago Civic Club on March 19, 1984, of which $200 was actually spent for round trip travel, and $200 went to the agent who made the speaking arrangement, enter in BLOCK A: "Chicago Civic Club, 18 Lakeshore Dr., Chicago, IL"; in BLOCK C under OTHER specify: "Honoraria"; under ACTUAL AMOUNT: "$1,000", and under DATE: "3/19/84". If the same item of income was received under the same circumstances by your spouse, who is self-employed as a marketing consultant, you would enter in BLOCK A: "S"; "Chicago Civic Club, 18 Lakeshore Dr., Chicago, IL"; in BLOCK C under OTHER specify: "Honoraria"; under ACTUAL AMOUNT leave a blank or fill in N/A, and under date: "3/19/84". Honoraria received and donated to charity must be reported, but a notation explaining that fact may be included in reporting such items.

2. OTHER INCOME—**Means all income, exclusive** of honoraria, received from non-investment sources including fees, commissions, salaries, income from personal services, pensions, etc. Report the **identity of the source and give the actual amount of such income.** For example, if you earned $450 teaching at a law school, enter in BLOCK A: "John Jones Law School, Rockville, MD"; in BLOCK C under OTHER: "Salary"; and under ACTUAL AMOUNT: "$450". **Exclude income totaling less than $100 from any one source.** For example, if you earned $75 for teaching in one law school and $150 from teaching at another school, report only the $150 amount.

   If **your spouse** has earned income in excess of $1,000 from any **one source identify the source but show nothing under amount.** If your spouse is self-employed in a business or profession, for example as a practicing psychologist who earned $10,500 during the year, you need only show under BLOCK A: "practicing psychologist".

3. UPDATE—A Presidential nominee to a position requiring the advice and consent of the Senate shall file with the Senate committee considering his or her nomination a report which shall update all items of his or her earned income and honoraria through the period ending no earlier than 5 days before the scheduled date of the Senate committee hearing on the nomination. This update shall be provided in the manner requested by the Senate committee considering the nomination.

IV. Investment Income
(BLOCK C)

Report items of investment income on the same line of Schedule A as the related property interest or other asset from which such income is derived. Note that some property interests or other assets

will not have a related item of realized income. In such a case, check "None (or less than $101)" in BLOCK C under category of amount.

A. Items to Report

Report the identity in BLOCK A and category of value in BLOCK C of any investment income over $100 from any one source received by you, your spouse or dependent child, or which accrued to the benefit of any one of you during the reporting period. For purposes of determining whether you meet the over $100 threshold from any one source, you must aggregate all types of investment income from that same source.

Investment income includes, but is not limited to: income derived from dealings in property, interest, rents, royalties, dividends, annuities, income from endowment contracts, income from discharge (forgiveness) of debts owed to you, your distributive share of partnership or joint venture income, and income from an interest in an estate or trust. You need not show the exact dollar amount of dividends, rents and royalties, interest, capital gains, and certain trust income. For these specific types of income you need only check the category of amount of the item reported. For all "other investment income" as described in item 6 below, you will have to report the **exact dollar amount** of income from each source.

B. What to Show on the Form

1. DIVIDENDS—Show in BLOCK C the **category of the amount you, your spouse or dependent child** received as **dividends** from investment sources including common and preferred securities, endowment contracts, and pension and annuity funds. **Identify the source of such income and check the category of amount.** When identifying the source of a corporate stock dividend, you may abbreviate the corporate name. For example, if cash dividends of $950 were received for shares of common stock of International Business Machines, enter in BLOCK A "IBM common", and in BLOCK C check that dividend income was received and check the appropriate category of amount.
2. RENTS AND ROYALTIES—Show income received by **you, your spouse or dependent child** as rental or lease payments for occupancy or use of personal or real property in which any one of you have an interest. In addition, show payments received from such interests as copyrights, royalties, inventions, patents, and mineral leases or other interests. **Identify the source of such income and check the category of amount.** For example, if you received $2,000 as rental income from an apartment building in Miami, Florida, enter in BLOCK A "apartment building, at 5802 Biscayne Blvd., Miami, FL", and in BLOCK C check that rental income was received and check the appropriate category of amount.
3. INTEREST—**Identify the source and the category of amount** of any interest earned or received by **you, your spouse or dependent child** as income from investment holdings including bills and notes, loans, promissory notes, annuity funds, bonds, and other securities. For example, if you earned $300 in interest during the calendar year on a Savings Certificate with Federal Savings and Loan, enter in BLOCK A "Federal Savings and Loan (Baltimore, MD)—Savings Certificate", and in BLOCK C check that interest income was received and check the appropriate category of amount.
4. CAPITAL GAINS—Report income from capital gains received or realized by **you, your spouse or dependent child** from sales or exchanges of property, business interests, partnership interests or shared ownership investment interests. **Identify the source and check the category of amount** of the gain. An example of an entry in BLOCK A might be "sale of one-third interest in 100-acre farm in Hamilton County, Iowa" and in BLOCK C check that capital gains were received and check the appropriate category of amount.
5. TRUST INCOME—Report the **category of amount and the type** of any income of $100 or more received from any trust. You **need not** identify the source from which the trust received the income when the trust is: (i) a "qualified blind trust" or "qualified diversified trust", which has been certified by the Office of Government Ethics, or (ii) an "excepted trust", one which was not created directly by, and about which no knowledge of holdings or source of income of the trust is possessed by you, your spouse or dependent child. Note, you are not permitted by the statute to "create" an excepted trust by avoiding previous sources of knowledge upon entering Government service. See subpart D of 5 CFR Part 734.

   Whenever you are required to identify the source of trust income, either for yourself or for a spouse or child, it is not enough simply to say "John Jones Trust". Generally, the investment holdings of the trust, discussed above under "Property Interests and Assets", and the income derived from each holding must be identified to the same extent as if held directly. However, if the trust is a qualified trust or an excepted trust, in BLOCK A show only the identity of the trust including the date the trust was created, and in BLOCK C check the classification of the trust interest as a "qualified blind trust", "qualified diversified trust", or "excepted trust", and check **category of amount** of the income realized.
6. OTHER INVESTMENT INCOME—**Report any items of investment income exceeding $100 which are not described above,** such as income from business interests, property dealings, annuities, an estate, or a distributive share of a partnership or joint business venture's income. To identify the sources of other investment income, either for yourself, your spouse, or a dependent child, briefly characterize, in BLOCK A, the nature of the business or investment interest, and when applicable, the location: for example "one-third ownership in a retail furniture store at 1010 Grand Ave., Chicago, IL". In BLOCK C, under OTHER specify the applicable type of income, for example "distributive share" from a partnership or "gross income" from a proprietorship, and under ACTUAL AMOUNT the actual amount of such income which was realized during the reporting period.

V. Transactions Test
(BLOCK D)

BLOCK D is to be completed by incumbent and termination filers only. It is designed to assist you in determining which assets in BLOCK A will also have to be reported in Part I of Schedule B as being purchased, sold or exchanged during the reporting period. You will need to check "YES" or "NO" in BLOCK D for any real property or stocks, bonds, commodities futures, and other forms of securities listed in BLOCK A. You need not answer the questions for any other kinds of items listed in BLOCK A. If you answer "Yes" for any such item, you must also report the details of the purchase, sale or exchange in Part I of Schedule B.

Schedule B

I. Part I—Transactions

A. General Instructions and Items to Report

This part is to be completed by incumbents and termination filers only. Give a description, the date, and the category of amount of any purchase, sale or exchange of any real property, stocks, bonds, commodities futures and other securities by you, your spouse or dependent child when the amount involved in the transaction exceeded $1,000. This will include the transaction for any asset for which you answered "Yes" in BLOCK D of Schedule A. It also includes reporting any sale or exchange of an asset involving an amount exceeding $1,000 when the sold or exchanged asset did not yield income of more than $100 (and therefore was not reported on Schedule A), or reporting the purchase of an asset involving an amount exceeding $1,000 but at the end of the reporting period having a value less than $1,000 and earning income of $100 or less during the reporting period (and therefore not appearing on Schedule A). The example on the form shows the proper way to disclose the XYZ common stock the reporting individual purchased for $35,000 on 2/1/83. Note on Schedule A, that there is an entry for the stock as well since it was still held at the end of the reporting period and that the reporting individual properly noted "Yes" in BLOCK D.

You need not report a transaction involving (1) your personal residence(s); (2) a money market mutual fund or personal bank account; (3) an asset of your spouse or dependent child if the asset meets the three-part test set forth under the instructions for Schedule A, at II.A.; and (4) a holding of a "qualified blind trust", a "qualified diversified trust" or an "excepted trust". You will need to report any transactions of a business or commercial enterprise in which you, your spouse or dependent child have a direct proprietary or general partnership interest.

You are required to report any covered transaction of any company, investment pool, or other entity, in which you, your spouse or dependent child have an interest if (i) the entity is not described in standard reference materials, or (ii) the transaction is not incidental to the primary trade or business of the entity as indicated by you on Schedule A. (See also section V(e) of the General Instructions preceding those for Schedule A.)

B. What to Show on the Form

Under identification of assets, identify the property or securities involved in the purchase, sale or exchange, and give the date of the transaction. For example, under IDENTIFICATION OF ASSETS "GMC common stock"; under TYPE OF TRANSACTION check type; under DATE enter date transaction occurred; under AMOUNT OF TRANSACTION check the category of value of the sale price, purchase price, or exchange value of the property involved in the transaction.

II. Part II—Gifts and Reimbursements

A. General Instructions

This Part is to be completed by incumbents and termination filers only. The Act requires you to disclose the receipt of gifts, in-kind travel expenses, and cash reimbursements by you or your spouse from any one source other than the U.S. Government. Generally, these are (1) gifts of **in kind** services of transportation, lodging, food or entertainment aggregating $250 or more from any one source, (2) cash reimbursements aggregating $250 or more from any one source for any kind of expense, and (3) other gifts, whether tangible or intangible, aggregating $100 or more from any one source. This reporting requirement applies to gifts and reimbursements received by your spouse to the extent the gift was not given to him or her **totally independent** of his or her relationship to you.

B. Items to Report

Report gifts received by **you, your spouse or dependent child** during the reporting period. A "gift" means any payment, forbearance, advance, rendering or deposit of money, or anything of value, unless consideration of equal or greater value is received by the donor. In determining which gifts and reimbursements must be reported or aggregated for purposes of meeting the threshold disclosure amounts, **exclude** these items:

i. Gifts having a value less than $35;

ii. Gifts received from "relatives" (see definition in Introduction);

iii. Bequests and other forms of inheritance;

iv. Suitable mementos of a function honoring the reporting individual;

v. Food, lodging, transportation, and entertainment provided by a foreign government **within a foreign country** or by the United States Government;

vi. Food and beverages consumed at banquets, receptions or similar events;

vii. Gifts in-kind of food, lodging, transportation and entertainment aggregating less than $250 in value received from any one source during the preceding calendar year (for purposes of the $250 aggregation in this exclusion, items with a fair market value of $35 or less need not be counted);

viii. Gifts (other than transportation, lodging, food or entertainment) aggregating less than $100 in value received from any one source (for purposes of the $100 aggregation in this exclusion, you need not count any items with a fair market value of $35 or less, nor any item for which, in an unusual case, a publicly available request for waiver was granted);

ix. Gifts given to a spouse totally independent of his or her relationship to you;

x. Gift items in the nature of communications to your office, such as subscriptions to newspapers and periodicals;

xi. Gifts of hospitality on the donor's personal or family premises, as defined in 5 CFR §734.105(i);

xii. Gifts and reimbursements received during non-Federal employment periods; and

xiii. Reimbursements you received for political trips which were required to be reported under section 304 of the Federal Election Campaign Act of 1971 (2 U.S.C. 434).

C. What to Show on the Form

1. TRANSPORTATION, LODGING, FOOD, ENTERTAINMENT—Report the identity of **the source, a brief description, and the approximate value** of in-kind gifts of transportation, lodging, food or entertainment aggregating $250 or more from any one source which were received by **you or your spouse** and which do not fall within any of the categories of exclusions enumerated above. To reach a $250 aggregation, you determine whether any one or combination of the components within this gift category received from one source (transportation, lodging, food and entertainment) amounts to $250 or more in value. For example, if you spent a weekend at a hunting lodge owned by AmCoal Corporation, and you received lodging fairly valued at $150, food valued at $100, and entertainment valued at $125, the aggregate value of the gift is $375. A gift of this nature—hospitality at a lodge owned by a corporation rather than an individual—would not qualify as a "personal hospitality" exclusion. To report this gift you would show, under SOURCE "AmCoal Corp., 1210 North St., Chicago, IL"; under BRIEF DESCRIPTION "lodging, food, and entertainment as a guest at hunting lodge owned by AmCoal"; and under VALUE "$375".

2. OTHER GIFTS.—Report the identity of the **source, a brief description, and the value** of gifts other than transportation, lodging, food or entertainment aggregating $100 or more in value from any one source, other than excluded gifts which **you or your spouse** received during the calendar year. Thus, if you and your spouse each receive a $60 figurine from the same donor, the gift has a value of more than $100, and it must be reported. To report the gift, identify the source, briefly describe the items, and show the value. In the case of the figurines, report on the form under SOURCE "Artifact Co., 153 Utah St., Omaha, NE"; and under BRIEF DESCRIPTION "two porcelain figurines". Under VALUE "$120" would be shown.

3. REIMBURSEMENTS—**Report the source and the approximate value** of any cash reimbursements (except those from the United States Government) aggregating $250 or more which **you or your spouse** received from any one source. For example, if you were reimbursed $400 for travel and lodging expenses in connection with a speech you made for the State Realtors Association, you would report this item on the form by showing under SOURCE "State Realtors Assoc., 45 Bridge St., Denver, CO"; under BRIEF DESCRIPTION "travel expenses for speech made in Denver"; and under VALUE "$400" would be shown. If your spouse made this speech and received the reimbursement totally independent of his or her relationship to you, no information for this item need be reported.

Note: If you receive in-kind services of transportation, lodging, food and entertainment or a reimbursement of official travel expenses from a non-profit tax-exempt institution categorized by the IRS as one falling within the terms of 26 U.S.C. 501(c)(3), you must report the name of the organization, a brief description of the in-kind services or the reimbursement and the value. If known, you may also wish to note the date you received the required written approval from your agency to accept such items.

Schedule C

I. Part I—Liabilities

A. General Instructions

The Act requires you to disclose certain of your financial liabilities. The examples on the form show how to report a mortgage on real estate the reporting individual held for the production of income and a promissory note made to an individual. Note that you will need to disclose the date, interest rate and term (if applicable) of each liability. Also note you must disclose the highest amount owed on any liability held **during the reporting period**, not just at the end of the period. If the liability was completely paid during the period, you may also note that on the form if you wish.

B. Items to Report

Identify and give the category of amount of the liabilities which **you, your spouse or dependent child** owed to any creditor, other than a relative, which exceeded $10,000 at any time during the reportable period, except:

i. a mortgage secured by real property which is the personal residence (or a second residence not used for producing income) of you or your spouse;

ii. a loan secured by a personal motor vehicle, household furniture, or appliances, where the loan does not exceed the purchase price of the item;

iii. a revolving charge account where the outstanding liability did not exceed $10,000 as of the close of the preceding calendar year; and

iv. any liability of your spouse or dependent child which represents the sole financial interest or responsibility of the spouse or child, and about which you have no knowledge, and which is not related to your income, assets, or activities, and concerning which you neither derive nor expect to derive any financial or economic benefit.

You are required to report any liability of any company, investment pool, or other entity, in which you, your spouse or dependent child have an interest, if (i) the entity is not described in standard reference materials, or (ii) the liability is not incidental to the primary trade or business of the entity as indicated by you on Schedule A. (See also section V(e) of the General Instructions preceding those for Schedule A).

C. What to Show on the Form

Under NAME AND ADDRESS OF CREDITOR the name and address of the actual creditor must be shown unless the reporting individual is only able to identify a fiduciary and certifies in the report that he has made a good faith effort to determine who the actual creditor is and was unable to do so, or upon his certification that such determination is otherwise impracticable. Under TYPE OF LIABILITY briefly indicate the nature of the liability. Under DATE enter date loan incurred. under INTEREST RATE note the set rate or, if a variable one, the formula used to vary the rate, i.e. prime

+2%; and under TERM . . . the duration of the loan. Check the category of value.

II. Part II—Agreements or Arrangements

A. General Instructions and Items to Report

Provide information regarding any agreements or arrangements you have concerning (i) future employment; (ii) a leave of absence during your period of Government service; (iii) continuation of payments by a former employer other than the United States Government; and (iv) continuing participation in an employee welfare or benefit plan maintained by a former employer. This includes any arrangements or negotiations with a future employer entered into by a termination filer. For purposes of public disclosure only, you must disclose any negotiations for future employment from the point you and a potential private sector employer have agreed to your future employment by that employer whether or not you have settled all of the terms, such as salary, title, benefits, and date employment is to begin. Your agency may require internal disclosure of negotiations much earlier and you should seek guidance before conducting any negotiations with persons with whom you do business. A criminal statute, 18 U.S.C. §208, applies to actions you may take while negotiating future private sector employment.

The example on the form shows the severance agreement under which the reporting individual expects to receive a lump sum payment from the law firm he has left in order to enter the Government.

B. What to Show on the Form

Under DESCRIPTION OF TERMS . . . describe the agreement or arrangement with appropriate specificity. Under PARTIES . . . show the name of the organization, or entity, and (if applicable) the name and title of the official, corporate officer, or principal person responsible for carrying out the terms of the agreement or arrangement. Under DATE . . . show the date of any such arrangement. **No report is required regarding any agreement or arrangement entered into by a spouse or dependent child.**

Schedule D

I. Part I—Positions Held

A. Items to Report

Report all positions held at any time during the reporting period, as well as those positions you currently hold as an officer, director, trustee, partner, proprietor, representative, employee or consultant of (i) any corporation, company, firm, partnership, trust, or other business enterprise; (ii) any non-profit organization; (iii) any labor organization; (iv) any educational institution; or (v) other institution other than the United States Government. Exclude positions held in any religious, social, fraternal, or political entity, and any positions solely of an honorary nature. **No report is required regarding any positions held by your spouse or a dependent child.** Be sure to report on Schedule A any income you received from acting in any of these positions.

B. What to Show on the Form

Give the name, address and brief description of the organization, the title or other brief functional description of the position, and the dates you held the position. If you currently hold the position, in the entry block under TO note "Present".

II. Part II—Compensation in Excess of $5,000 Paid by One Source

A. General Instructions

This Part is to be completed by nominees and new entrants only. This Act requires that you disclose your sources of compensation in excess of $5,000 and the nature of the duties you provided. This includes not only the source of your salary or other fees, but the disclosure of clients for whom you personally provided $5,000 in services even though the clients' payment was made to your employer, firm or other business affiliation. The example on the form shows the proper way to disclose the business affiliation which paid the reporting individual's compensation, in this case a law firm, and a client of the firm for whom the reporting individual personally provided over $5,000 worth of services. This Part does not require you to disclose the value of the compensation for these services; it does require a brief description of the services you provided. When a source has paid you directly, you should have a corresponding entry on Schedule A. A client who paid your business affiliation $5,000 or more for your services will appear only in this Part.

B. Items to Report

Report the nature of the duties performed or services rendered for any person (other than the United States Government) from which compensation in excess of $5,000 in any of the two preceding calendar years, or the present calendar year was received by you or an entity which billed for your services (business affiliation). Exclude: (i) information to the extent that it is considered confidential as a result of a privileged relationship established by law, or (ii) information about persons for whom services were provided by a business affiliation of which you were a member, partner or employee unless you were directly involved in the provision of the services. The name of a client of a law firm is not generally considered confidential. **No report is required regarding compensation paid to your spouse or a dependent child.**

C. What to Show on the Form

Under SOURCE . . . give the name and address of the person to whom services were provided, for example, "Newark Real Estate Co. (Newark, NJ)"; and under BRIEF DESCRIPTION . . . the title or other brief functional description of the services rendered, for example: "tax matters researched for above firm while an associate with Quinn and Ouspensky".

SF 278 (Rev. 1/85)
FPM Chapter 734
U.S. Office of Personnel Management

Financial Disclosure Report

Form Approved
OMB No. 3206-0092

Reporting Status *(Check Appropriate Box)*		Agency Use Only	OGE Use Only	Date of Appointment, Candidacy, Election or Nomination *(Mo., Day, Yr.)*	Termination Date *(If Applicable)* *(Month, Day, Year)*
☐ Incumbent	☐ New Entrant, Nominee, or Candidate ☐ Termination Filer				

Reporting Individual's Name	Last Name	First Name and Middle Initial
Position for Which Filing	Title of Position	Department or Agency *(If Applicable)*
Location of Present Office	Address *(Number, Street, City, State and ZIP Code)*	Telephone No. *(Include Area Code)*
Position(s) Held With the Federal Government During the Preceding 12 Months *(If Not Same as Above)*	Title of Position(s) and Date(s) Held	
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination	Do You Intend to Create a Qualified Diversified Trust? ☐ Yes ☐ No
Certification I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Signature of Reporting Individual	Date *(Month, Day, Year)*
Other Review (If desired by agency)	Signature of Other Reviewer	Date *(Month, Day, Year)*
Agency Ethics Official's Opinion The information contained in this report discloses no conflict of interest under applicable laws and regulations.	Signature of Designated Agency Ethics Official/Reviewing Official	Date *(Month, Day, Year)*
Office of Government Ethics Use Only	Signature	Date *(Month, Day, Year)*

Comments of Reviewing Officials *(If additional space is required, use the reverse side of this sheet)*

Reporting Periods

Incumbents: Complete Schedules A, B, C, and Part I of D. The reporting period is the preceding calendar year except for Part II of Schedule C and Part I of Schedule D where you must also include any positions held or agreements or arrangements made from the beginning of the filing year until the date you file.

Termination Filers: Complete Schedules A, B, C, and Part I of D. The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination.

Nominees, New Entrants and Candidates for President and Vice President: Complete Schedules A, C, and D. (Candidates do not file Part II of Schedule D.)

- **Schedule A**—The reporting period for Income (BLOCK C) and Transactions Test (BLOCK D) is the preceding calendar year and the current calendar year up to the date of filing. Value assets in BLOCK B as of any date you choose that is within 31 days of the date of filing.
- **Schedule C, Part I** (Liabilities)—The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing.
- **Schedule C, Part II** (Agreements and Arrangements)—Show any agreements or arrangements as of the date of filing.
- **Schedule D**—The reporting period is the preceding **two** calendar years and the current calendar year up to the date of filing.

(Check box if comments are continued on the reverse side) ☐

NSN 7540-01-070-8444

PREVIOUS EDITION USABLE

SF 278 (Rev. 1/85)
FPM Chapter 734
U.S. Office of Personnel Management

Form Approved
OMB No. 3206-0082

Reporting Individual's Name	**Assets and Income**	**Page Number**		**Schedule A**

All Filers: In BLOCK A report (a) the identity of each asset held for the production of income at the close of the reporting period which had a fair market value exceeding $1000 and (b) any other asset or source of income which generated over $100 in income during the reporting period. This includes but is not limited to employers, stocks, bonds, tax shelters, bank accounts, real property, mutual funds, pensions, IRA assets, assets of certain trusts, commodities futures, personal businesses and partnership interests. **Exclude** your personal residence unless you rent it out. See instructions for rules on bank accounts and complex holdings.

All Filers: In BLOCK B report the value of each asset listed in BLOCK A which had a fair market value exceeding $1000 at the close of the reporting period.

All Filers: In BLOCK C report the type and amount of income exceeding $100 or more received from the assets and other sources of income listed in BLOCK A. You must report the **actual amount** of any income not of a type specifically noted below. You need not report the actual amount of your spouse's earned income, only the source in BLOCK A. You may not check "qualified trust" unless you have a blind trust which has been specifically approved by the Office of Government Ethics. If you, your spouse or dependent child are the beneficiary of a trust which no one of you created and has no knowledge of the assets, refer to the instructions to see if it qualifies as an "excepted trust." If "none" (or less than $101) is checked under Category of Amount of Income, no other entries need be made in BLOCK C for that item.

Incumbents and Termination Filers only: In BLOCK D, for any real property, stocks, bonds, commodities futures and other securities listed in BLOCK A, did you purchase, sell, or exchange the item during the reporting period for a value that exceeds $1000?

BLOCK A — Assets & Income Sources

Identify each asset and income source of yours, your spouse(S) and your dependent child (DC).

NONE ☐

BLOCK B — Valuation of Assets

Category of Value (X)

BLOCK C — Income

Type of Income (X)

Category of Amount of Income (X)

BLOCK D — Transactions Test

If yes, complete Schd. B Part I for those assets including those sold for a loss.

S or DC		Category of Value (X)								Type of Income (X)							Category of Amount of Income (X)										
		None (or less than $1001)	$1,001-$8,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	Over $250,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Trust	Other (Specify Type)	None (or less than $101)	$101-$1,000	$1,001-$2,500	$2,501-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	Over $100,000	Actual Amount Only if "Other" Specified	Date (Mo., Day, Yr.) Only if Honoraria	D Yes	D No
S or DC	Examples																										
	X Y Z Common				X				X									X								X	
	Doe Jones & Smith, Hometown USA			X											ptnrshp income									$50,000			
1																											
2																											
3																											
4																											
5																											
6																											
7																											
8																											
9																											
10																											

PREVIOUS EDITION USABLE

278-209

SF 278 (Rev. 1/86)
FPM Chapter 734
U.S. Office of Personnel Management

Form Approved
OMB No. 3206-0092

Reporting Individual's Name

Page Number		Schedule B

Part I
Transactions

Incumbents and Termination Filers only: Report any purchase, sale or exchange by you, your spouse or dependent child during the reporting period of any real property, stocks, bonds, commodities futures, and other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse or your dependent child.

NONE ☐

S or DC	Identification of Assets	Type of Transaction (X)				Amount of Transaction (X)					
		Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	$1,001-$5,000	$5,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	Over $250,000
Example	X Y Z Common	X			2/1/83			X			
1											
2											
3											
4											
5											
6											

Part II
Gifts, Reimbursements and Travel Expenses

Incumbents and Termination Filers only:
Report the source, a brief description and the value of: (1) in-kind gifts of transportation, lodging, food or entertainment received from one source totaling $250 or more unless received as personal hospitality at the donor's personal or family residence; (2) other gifts received from one source totaling $100 or more in value; and (3) cash reimbursements of $250 or more received from one source. Exclude gifts and reimbursements received by your spouse that were given totally independent of their relationship to you. **Exclude** transportation, lodging, food and reimbursements from the U.S. Government. For (1) and (2), **exclude** gifts from relatives and **exclude** gifts of $35 or less when aggregating them for the total from one source. See instructions for further exclusions.

NONE ☐

S	Source (Name and Address)	Brief Description	Value
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to national conference 6/15/83	$500
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Leather briefcase for retiring president	$125
1			
2			
3			
4			
5			
6			

SF 278 (Rev. 1/95)
FPM Chapter 734
U.S. Office of Personnel Management

Form Approved
OMB No. 3206-0062

Reporting Individual's Name

Page Number		Schedule C

Part I
Liabilities

All Filers: Report liabilities over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse or dependent child. Check the highest amount owed during the reporting period. Exclude a mortgage on your personal residence unless it is rented out, loans secured by automobiles, household furniture or appliances, and liabilities owed to relatives. See instructions for revolving charge accounts.

NONE ☐

S or DC	Creditor (Name and Address)	Type of Liability	Date Incurred	Interest Rate	Term if applicable	Category of Amount or Value (X) $10,001 to $15,000	$15,001 to $50,000	$50,001 to $100,000	$100,001 to $250,000	Over $250,000
S	Examples: First District Bank, Washington, DC	Mortgage on rental property, Rehoboth Beach, Delaware	1981	13%	25 yrs.			X		
DC	John Jones, 123 J St., Washington, DC	Promissory note	1979	10%	on demand	X				
1										
2										
3										
4										
5										
6										

Part II
Agreements Or Arrangements

All Filers: Report your agreements or arrangements for future employment, leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

NONE ☐

	Status and Terms of any Agreement or Arrangement	Parties	Date (Mo., Yr.)
Example	Pursuant to partnership agreement, will receive capital account & partnership share calculated on service performed through 11/83	Doe Jones & Smith, Home town, USA	7 75 ptnership agmnt

SF 278 (Rev. 1/85)
FPM Chapter 734
U.S. Office of Personnel Management

Form Approved
OMB No. 3206-0092

Reporting Individual's Name

Page Number		Schedule D

Part I
Positions Held Outside U.S. Government

All Filers: Report any positions held during the applicable reporting period. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities or those solely of an honorary nature.

NONE ☐

	Organization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/82	6/83
	Doe Jones & Smith, Hometown, USA	Law firm	Partner	7/75	11/83

Part II
Compensation In Excess Of $5000 Paid by One Source

Nominees and New Entrants only: Report sources of such compensation received by you or your business affiliation for services directly provided by you during the reporting period. This includes the names of clients and customers of any corporation, firm, partnership or other business enterprise, or any nonprofit organization, when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

NONE ☐

	Source (Name and Address)	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, USA	Legal services
	Metro University (client of Doe Jones & Smith) Hometown, USA	Legal services in connection with university construction

DI-278 (11/79)
Approved Supplement to SF-278

(Incorporating additional requirements of forms DI-212 and DI-212A)

UNITED STATES DEPARTMENT OF THE INTERIOR

CONFIDENTIAL STATEMENT OF EMPLOYMENT AND FINANCIAL INTERESTS

(SUPPLEMENT TO FINANCIAL DISCLOSURE REPORT SF-278)

1. NAME (Last, first, initial)	2. BUREAU OR OFFICE

THIS SUPPLEMENT REQUESTS ONLY THAT INFORMATION THAT IS NOT ALREADY PROVIDED ON THE SF-278 (FINANCIAL DISCLOSURE REPORT). This information is needed to permit application of Interior Department, Bureau and Office regulations relating to conflict of interest.

GENERAL INSTRUCTIONS. All employees filing SF-278 must complete both A and B under Part I below. If the box by Part II is checked, employee must complete C, D and E, for he/she is performing duties or functions under the Surface Mining Control and Reclamation Act of 1978. Identify ownerships: employee (E); joint (J); sole ownership of spouse (S); sole ownership of children (C); sole ownership of other relatives who are fulltime residents in employee's household (R). See additional instructions and Privacy Act Notice on reverse side of this form.

PART I.

A. Financial Interests. List the names of all business entities, nonprofit organizations, and educational and other institutions in which you, your spouse, minor children or other relatives who are fulltime residents of your immediate household have (1) a continuing financial interest, through a pension or retirement plan, shared income, salary or other income arrangement as a result of any current or prior employment or business or professional association; or (2) any financial interest through the ownership of stock, stock options, bonds, securities or other arrangements including trusts. List only those items which fall below the categories of value shown on the related portion of the SF-278. If none, write NONE.

NAME OF ORGANIZATION	KIND OF ORGANIZATION AND ADDRESS FOR OTHER THAN LISTED CORPORATIONS—Those traded on major U.S. stock exchanges	NATURE OF FINANCIAL INTEREST. For stockholdings of listed corporations, show number of shares. For all other financial interests show value and annual return, if applicable.

B. Real Property. List interests in real property or rights (e.g., lease, royalty, mineral, grazing) in lands or minerals in which you, your spouse, minor children, or other relatives who are fulltime residents of your immediate household, have an interest. List only those items which fall below the categories of value shown on the related portion of the SF-278. Do not report property occupied as a personal residence. If none, write NONE.

NATURE OF INTEREST, e.g., Ownership, Mortgage, Lien, Investment Trust, Mineral or Grazing Rights	TYPE AND PURPOSE OF INVESTMENT, e.g., Residence, Hotel, Apartment, Farm, Undeveloped Land, Recreation	ADDRESS AND PROXIMITY TO FEDERAL LANDS. If interior developed, so indicate (If rural give RFD, specify county, state)

If Part II is not checked for completion, please sign and date the certification.

I certify that the statements I have made are true, correct, and complete to the best of my knowledge and belief.		Review completed and determination made that no conflict of interest exists.	
Signature of employee	*Date*	Ethics Counselor	Date

☐ **PART II. Employees having any functions or duties under the Surface Mining Control and Reclamation Act of 1977 must complete C, D and E.**

C. Employment. List the names of business entities, nonprofit organizations, and other institutions with which *your spouse, minor children or other relatives who are fulltime residents of your immediate household* have an interest as an employee, officer, owner, director, member, trustee, partner, advisor, or consultant. *You do not need to repeat the information concerning your own employment reported on the SF-278.* If none, write NONE.

NAME AND KIND OF ORGANIZATION	ADDRESS	POSITION IN ORGANIZATION

Part II (Continued)

D. **Creditors.** List the name of creditors to whom *you, your spouse, minor children or other relatives who are fulltime residents of your immediate household* are indebted. *You need not repeat the information concerning your creditors provided on the SF-278.* Exclude debts for a mortgage on property occupied as a personal residence or debts for current and ordinary household and living expenses. If none, write NONE.

NAME AND ADDRESS OF CREDITOR	CHARACTER OF INDEBTEDNESS, e.g., Personal Loan, Note, Security

E. **Employee Certification.** To the best of my knowledge, none of the financial, real property, employment or creditor interests listed in SF-278, or Parts I and II of this supplement represent an interest in an underground or surface coal mining operation, except as follows. (List exceptions. If none, write NONE.)

INTEREST	NUMBER OF SHARES, ESTIMATED VALUE OR ANNUAL INCOME AND THE BENEFICIARY OF THE FINANCIAL INTEREST

I CERTIFY that the statements I have made are true, correct, and complete to the best of my knowledge and belief.

Signature of employee	*Date*

Reviewer's comments, if any, to show basis for decision:

REVIEWER'S CERTIFICATION: Review completed, prohibited interests, if any, have been resolved, and determination made that no other prohibited interests have been identified from the assessment.

Ethics Counselor	Date

ADDITIONAL INSTRUCTIONS

You are not required to submit any information relating to any connection with, or interest in, a professional society, a charitable, religious, social, fraternal, recreational, public service, civil, or political organization or any similar organization not conducted as a business enterprise and which is not engaged in the ownership or conduct of a business enterprise. Educational and other institutions doing research and development or related work involving grants of money from, or contracts with, the Government are deemed to be "business enterprises" for purposes of this report and should be included.

You may exclude: (1) Holdings in widely diversified mutual funds, investment clubs, or regulated investment companies not specializing in a particular industry or underground or surface coal mining operations, (2) Savings or deposits in banks, credit unions, building and loan associations, or insurance companies, (3) Debts owed to financial institutions (banks, savings and loan associations, credit unions and the like) which are chartered to provide commercial or personal credit, and (4) Retirement plans from which you, your spouse, or other resident relative received a guaranteed income.

In the event any of the required information, including holdings placed in trust, is not known to you but is known to another person, you should request the other person to submit the information on your behalf and should report such request in your statement. This requirement may be waived for holdings in a qualified blind trust.

If your official duties may bring you in contact with business entities, nonprofit organizations, or other institutions with which your spouse, minor children or other relatives have either an employment or creditor relationship you should provide enough information about the situation to allow the reviewer to determine the potential for an indirect financial interest.

PRIVACY ACT NOTICE

For Interior Department employees, Section 402 of Executive Order 11222, 5 CFR 735.401, Section 201(f) of Public Law 95-87 and 30 CFR 706 constitute the authority for collecting the personal data on this confidential supplement. Federal employees required to file this form must furnish the data required; failure to do so could be cause for imposing the penalty in 30 CFR 706.5(b) or for other appropriate disciplinary action.

The information gathered from the statement will be used to determine whether there are any direct or indirect financial interests in violation of Section 201(f) of Public Law 95-87. In addition, for Interior Department employees, the information gathered from the statement will be used to determine whether there are any real or apparent conflicts of interest in violation of 18 U.S.C. §201 et seq., Executive Order 11222 and 43 CFR 20.735 (Department of the Interior Employee Responsibilities and Conduct.)

This Confidential Supplement of Employment and Financial Interests, will be filed in the Department of the Interior system of records identified as "Financial Interest Statements and Ethics Counselor Decisions—Interior, Office of the Secretary." The system location in the Department is the Office of Inspector General and offices of Bureau and Office Ethics Counselors, Deputy Ethics Counselors, and Assistant Ethics Counselors. The U.S. Department of the Interior may make routine disclosures (1) to a Congressional office from the record of an individual in response to an inquiry made at the request of that individual; (2) to authorized auditors; (3) to the Office of Personnel Management; (4) to the Department of Justice when related to litigation or anticipated litigation; and (5) to appropriate law enforcement agencies.

Form DI-212A

UNITED STATES DEPARTMENT OF THE INTERIOR
CONFIDENTIAL STATEMENT OF EMPLOYMENT AND FINANCIAL INTERESTS
(FOR USE, BY FEDERAL EMPLOYEES WHO PERFORM ANY FUNCTIONS OR DUTIES UNDER THE SURFACE MINING CONTROL AND RECLAMATION ACT OF 1977, PUBLIC LAW 95-87)

1 NAME (Last, first, middle)	2 TITLE OF POSITION
3 DATE OF APPOINTMENT IN PRESENT POSITION	4. ORGANIZATIONAL UNIT

GENERAL INSTRUCTIONS. When there is insufficient space on this form to provide the required information, use attachments as necessary. If any information is to be supplied by other persons, e.g. trustee, accountant, relative, show on the form or attachment the name and address of such persons, the date you requested that information be supplied, and the nature of subject matter involved. See the back of the form for Parts II and III, Additional Instructions and the Privacy Act Notice.

PART I

A. FINANCIAL INTERESTS. List the names of all business entities, nonprofit organizations, and educational and other institutions in which you, your spouse, minor children or other relatives who are full-time residents of your immediate household have (1) a continuing financial interest through a pension or retirement plan, shared income, salary or other income arrangement as a result of any current or prior employment or business or professional association, or (2) any financial interest through the ownership of stock, stock options, bonds, securities or other arrangements including trusts[1]. If none, write NONE.

NAME OF ORGANIZATION	KIND OF ORGANIZATION FOR OTHER THAN LISTED CORPORATIONS -THOSE TRADED ON MAJOR U.S STOCK EXCHANGES	NATURE OF FINANCIAL INTEREST FOR STOCK HOLDINGS OF LISTED CORPORATIONS SHOW NUMBER OF SHARES FOR ALL OTHER FINANCIAL INTERESTS SHOW VALUE AND ANNUAL RETURN IF APPLICABLE[2]

B. REAL PROPERTY. List interests in real property or rights (e.g. lease, royalty, mineral, grazing) in lands or minerals, in which you, your spouse, minor children or other relatives who are full-time residents of your immediate household have an interest. Exclude property which you occupy as a personal residence. If none, write NONE.

NATURE OF INTEREST, e.g. OWNERSHIP, MORTGAGE, LIEN, INVESTMENT TRUST, MINERAL OR GRAZING RIGHTS	TYPE AND PURPOSE OF INVESTMENT, e.g. HOTEL APARTMENT, RESIDENCE FARM, UNDEVELOPED LAND, RECREATION	ADDRESS AND PROXIMITY TO FEDERAL LANDS IF INTERIOR DEVELOPED SO INDICATE IF RURAL, GIVE RFD, OR SPECIFY COUNTY AND STATE[1]

C. EMPLOYMENT. List the names of business entities, nonprofit organizations, and educational and other institutions[1] with which you, your spouse, minor children or other relatives who are full-time residents of your immediate household have an interest as an employee, officer, owner, director, member, trustee, partner, adviser, or consultant. If none, write NONE.

NAME AND KIND OF ORGANIZATION	ADDRESS	POSITION IN ORGANIZATION[2]

D. CREDITORS. List the names of creditors to whom you, your spouse, minor children or other relatives who are full-time residents of your immediate household are indebted. Exclude debts for a mortgage on property occupied as a personal residence or debts for current and ordinary household and living expenses such as household furnishings, automobile, education, vacation, and similar expenses. If none, write NONE.

NAME AND ADDRESS OF CREDITOR	CHARACTER OF INDEBTEDNESS, e.g. PERSONAL LOAN, NOTE, SECURITY[2]

[1] See back of form for applicable exclusions.

[2] Identify the interests of yourself and relatives as follows: Sole ownership of employee (E), joint ownership with spouse, minor children or other resident relatives (J), sole ownership of spouse (S), sole ownership of minor children (C), sole ownership of other relatives who are full time residents in your household (R).

PART II

EMPLOYEE CERTIFICATE. To the best of my knowledge, none of the financial, real property, employment or creditor interests listed in Part I represent an interest in an underground or surface coal mining operation except as follows (List exceptions. If none, write "NONE".)

INTEREST	NUMBER OF SHARES, ESTIMATED VALUE, OR ANNUAL INCOME AND THE BENEFICIARY OF THE FINANCIAL INTEREST

I CERTIFY that the statements I have made are true, correct, and complete to the best of my knowledge and belief.

Signature of Employee	Date

PART III

Reviewer's comments, if any, to show the basis for decision:

REVIEWER'S CERTIFICATE:

Reviewer's conflicted prohibited interests, if any, have been resolved, and determination made that no other prohibited interests exist. See attached statement.

Signature of Reviewer	Date

ADDITIONAL INSTRUCTIONS

You are not required to submit any information relating to any connection with, or interest in, a professional society, a charitable religious social fraternal recreational public service, civic, or political organization or any similar organization not conducted as a business enterprise and which is not engaged in the ownership or conduct of a business enterprise. Educational and other institutions doing research and development or related work involving grants of money from or contracts with the Government are deemed to be "business enterprises" for purposes of this report and should be included.

Except where organic act restrictions apply, either by statute or regulation you may exclude (1) Holdings in widely diversified mutual funds, investment clubs, or regulated investment companies not specializing in a particular industry or underground or surface coal mining operations, (2) Savings or deposits in banks, credit unions, building and loan associations, or insurance companies, (3) Debts owed to financial institutions (banks, savings and loan associations, credit unions and the like) which are chartered to provide commercial or personal credit, and (4) Retirement plans from which you, your spouse, or other resident relative received a guaranteed income.

In the event any of the required information, including holdings placed in trust, is not known to you but is known to another person, you should request the other person to submit the information on your behalf and should report such request in your statement. This requirement may be waived for holdings in an approved blind trust.

If your official duties may bring you in contact with business entities, nonprofit organizations, or other institutions with which your spouse, minor children or other relatives have either an employment or creditor relationship you should provide enough information about the situation to allow the reviewer to determine the potential for an indirect financial interest.

Employees in Federal agencies other than Interior who are using this form, are not required to report grazing rights, proximity to Federal lands, or development of their real estate holdings (Part I, Section B).

PRIVACY ACT NOTICE

For Interior Department employees, Section 402 of Executive Order 11222, 5 CFR 735.401, Section 201(f) of Public Law 95-87 and 30 CFR 706 constitute the authority for collecting the personal data on this confidential statement of employment and financial interests. For Federal employees of other Executive Departments or agencies, who are using this form, Section 201(f) of Public Law 95-87, 30 CFR 706, and the memorandum of understanding in the policy 30 CFR 706.4(b) constitute the authority for collecting the personal data on this statement of employment and financial interests. Federal employees must report this data. You must furnish the data required, failure to do so could be cause for imposing the penalty in 30 CFR 706.6(b).

The information gathered from the statement will be used to determine whether there are any direct or indirect financial interests in violation of Section 201(f) of Public Law 95-87. In addition, for Interior Department employees, the information gathered from the statement will be used to determine whether there are any real or apparent conflicts of interest in violation of 18 U.S.C. 1201 et seq., Executive Order 11222 and 43 CFR 20.735 (Department of the Interior Employee Responsibilities and Conduct).

The DI-212A, Confidential Statement of Employment and Financial Interests, will be filed in the Department of the Interior system of records identified as "Financial Interest Statements and Ethics Counselor Decisions--Interior, Office of the Secretary." The system location in the Department is the Office of Audit and Investigation and offices of Bureau and Office Ethics Counselors, Deputy Ethics Counselors, and Assistant Ethics Counselors. The U.S. Department of the Interior may make routine disclosures (1) to a Congressional office from the record of an individual in response to an inquiry made at the request of that individual; (2) to authorized auditors; (3) to the Civil Service Commission; (4) to the Department of Justice when related to litigation or anticipated litigation; and (5) to appropriate law enforcement agencies.

Statements filed by Federal employees of other departments or agencies with their own department or agency will be maintained in accordance with the Privacy Act and subject to the requirements of the department or agency which maintains the statements.

Form OSM 23 (12/79)
(Formerly OSM 705-1 12/77)

UNITED STATES DEPARTMENT OF THE INTERIOR

OFFICE OF SURFACE MINING
Reclamation and Enforcement

STATEMENT OF EMPLOYMENT AND FINANCIAL INTERESTS
(FOR USE BY STATE EMPLOYEES)

Approved by OMB
CN 1029-0067
Expires: 1/31/88

1. NAME (Last, first, initial)	2. TITLE OF POSITION
3. DATE OF APPOINTMENT IN PRESENT POSITION	4. ORGANIZATIONAL UNIT

GENERAL INSTRUCTIONS. When there is insufficient space on this form to provide the required information, use attachments as necessary. If any information is to be supplied by other persons, e.g. trustee, accountant, relative, show on the form or attachment the name and address of such persons, the date you requested that information be supplied, and the nature of subject matter involved. See the back of the form for Parts II and III. Additional Instructions, and the Privacy Notice.

PART I

A. FINANCIAL INTERESTS. List the names of all business entities, nonprofit organizations, and educational and other institutions[1] in which you, your spouse, minor children or other relatives who are full-time residents of your immediate household have (1) a continuing financial interest, through a pension or retirement plan, shared income, salary or other income arrangement as a result of any current or prior employment or business or professional association; or (2) any financial interest through the ownership of stock, stock options, bonds, securities or other arrangements including trusts[1]. If none, write NONE.

NAME OF ORGANIZATION	KIND OF ORGANIZATION FOR OTHER THAN LISTED CORPORATIONS—THOSE TRADED ON MAJOR U.S. STOCK EXCHANGES	NATURE OF FINANCIAL INTEREST[2]

B. REAL PROPERTY. List interests in real property or rights (e.g. lease, royalty) in lands or minerals, in which you, your spouse, minor children or other relatives who are full-time residents of your immediate household have an interest. Exclude property which you occupy as a personal residence. If none, write NONE.

NATURE OF INTEREST, e.g., OWNERSHIP, MORTGAGE, LIEN, INVESTMENT TRUST, MINERAL RIGHTS	TYPE AND PURPOSE OF INVESTMENT e.g., HOTEL, APARTMENT FARM, UNDEVELOPED LAND RECREATION	LOCATION[2]

C. EMPLOYMENT. List the names of business entities, nonprofit organizations, and educational and other institutions[1] with which you, your spouse, minor children or other relatives who are full-time residents of your immediate household have an interest as an employee, officer, owner, director, trustee, partner, adviser, or consultant. If none, write NONE.

NAME AND KIND OF ORGANIZATION	ADDRESS	POSITION IN ORGANIZATION[2]

D. CREDITORS. List the names of creditors to whom you, your spouse, minor children or other relatives who are full-time residents of your immediate household are indebted. Exclude debts for a mortgage on property occupied as a personal residence or debts for current and ordinary household and living expenses such as household furnishings, automobile, education, vacation, and similar expenses[1]. If none, write NONE.

NAME AND ADDRESS OF CREDITOR	CHARACTER OF INDEBTEDNESS, e.g., PERSONAL LOAN, NOTE, SECURITY[2]

[1] See back of form for applicable exclusions.
[2] Identify the interests of yourself and relatives as follows: Sole ownerships of employee (E), joint ownership with spouse, minor child or other resident relative (J), sole ownership of spouse (S), sole ownership of minor children (C), sole ownership of other relatives who are full-time residents in your household (R).

The Paperwork Reduction Act of 1980 (44 U.S.C. 35) requires us to inform you that: This information is being collected to comply with provisions of the prohibited employment and financial interests. This information is being used to identify any prohibited interests. The obligation to respond is mandatory.

PART II

EMPLOYEE CERTIFICATE To the best of my knowledge, none of the financial real property employment or creditor interests listed in Part I represent an interest in an underground or surface coal mining operation except as follows (List exceptions if none, write NONE.)

INTEREST	NUMBER OF SHARES ESTIMATED VALUE OR ANNUAL INCOME AND THE BENEFICIARY OF THE FINANCIAL INTEREST

I CERTIFY that the statements I have made are true, correct, and complete to the best of my knowledge and belief

Signature of Employee	Date

Part III

Reviewer's comments, if any, to show the basis for decision:

REVIEWER'S CERTIFICATE:

Review completed: prohibited interests, if any, have been resolved; and determination made that no other prohibited interests have been identified from the statement

Signature of Reviewer	Date

ADDITIONAL INSTRUCTIONS

You are not required to submit any information relating to any connection with, or interest in, a professional society, a charitable, religious, social, fraternal, recreational, public service, civil, or political organization or any similar organization unless the organization owns or conducts a coal mining operation. Educational and other institutions doing research and development or related work involving grants of money from or contracts with the Government are deemed to be "business enterprises" for purposes of this report and should be included.

You may exclude (1) Holdings in widely diversified mutual funds, investment clubs, or regulated investment companies not specializing in underground or surface coal mining operations. (2) Savings or deposits in banks, credit unions, building and loan associations, or insurance companies. (3) Debts owed to financial institutions (banks, savings and loan associations, credit unions and the like) which are chartered to provide commercial or personal credit, and (4) Retirement plans from which you, your spouse, or other resident relative received a guaranteed income. A guaranteed income is one which is unlikely to be changed as a result of actions taken by the State Regulatory Authority.

In the event any of the required information, including holdings placed in trust, is not known to you but is known to another person, you should request that other person to submit the information on your behalf and should report such request in your statement.

If your official duties may bring you in contact with business entities, non-profit organizations, or other institutions with which your spouse, minor children or other relatives have either an employment or creditor relationship you should provide enough information about the situation to allow the reviewer to determine the potential for an indirect financial interest.

PRIVACY NOTICE

Section 517(g) of Public Law 95-87 and 30 CFR 705 constitute the authority for collecting the personal data on this statement of employment and financial interests. This data must be furnished; failure to do so could be cause for appropriate disciplinary action.

The information gathered from the statement will be used to determine whether there are any direct or indirect financial interests in violation of Section 517(g) of Public Law 95-87.

Maintenance of the statement by the State Regulatory Authority is subject to State law. Pursuant to 30 CFR 705 the statement may be inspected by or provided to representatives of the U.S. Department of the Interior.

If the statement is provided to the U.S. Department of the Interior, the statement will be subject to the requirements of Federal law, including the Privacy Act of 1974, 5 U.S.C. 552a. The U.S. Department of the Interior may make routine disclosures (1) from the record of an individual in response to an inquiry from a Congressional office made at the request of that individual; (2) to the U.S. Department of Justice when related to litigation or anticipated litigation involving the records or the subject matter of the records; and (3) to appropriate State and Federal law enforcement agencies.