U.S. Office of Government Ethics
OGE Form 201 (October 1999)

Form Approved: OMB No. 3209 - 0002

Request to Inspect or Receive Copies of SF 278 Executive Branch Personnel Public Financial Disclosure Report or Other Covered Record

I. Application

	Agency Use Only
1. Applicant's name and address (please print):	2. Date:
1a. Office telephone number: ( ) _____ _____ ext. _____ (Optional)	3. Occupation:
4. If application is for or on behalf of any other person or organization, give the other's name:	4a. Address of the other person or organization:

5. ❒ Copy of the most recent (or other, specify) Public Financial Disclosure Report Form SF 278 requested for the following named individual(s):

a.	d.
b.	e.
c.	f.

Certain other types of records ("covered records") can also be requested using this form (See Part III below); if you are requesting another covered record, check this box ❒ and specify which type of record(s): _____

6. Applicant's signature:

II. Notice of Action

❒ Copies of the report(s) or other covered record(s) you requested are enclosed. See the **Important Notice** below.

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

❒ Other. Explanation: _____

❒ Fees. If applicable, amount: _____ (when fees are required, make out a check payable to the U.S. Treasury and send it to the executive branch agency processing this request form).

A. Important Notice

The law and implementing OGE regulations require that a report or other covered record not be available to any person except upon written application by such person stating his or her name, occupation and address, and that the person be aware of the prohibitions on improper use, set forth below.

Section 105(c) of the Ethics in Government Act of 1978, as amended and 5 C.F.R. § 2634.603(f) of the implementing OGE regulations provide that it is unlawful for any person to obtain or use a report:

(1) for any unlawful purpose;

(2) for any commercial purpose, other than by news and communications media for dissemination to the general public;

(3) for determining or establishing the credit rating of any individual; or

(4) for use, directly or indirectly, in the solicitation of money for any political, charitable, or other purpose.

The Attorney General may bring a civil action against any person who obtains or uses a report for any such prohibited purpose as set forth above. The court may assess against such a person a penalty in any amount not to exceed $11,000. Such remedy shall be in addition to any other remedy available under statutory or common law.

(form continued on reverse side)

ENCL (2)

B. Privacy Act Statement

Section 105 of the Ethics in Government Act of 1978, as amended (5 U.S.C. App.) and 5 C.F.R. § 2634.603 authorize the solicitation of the information requested in this form. The primary use of the information on this form is to permit officials of the recipient agency to consider and process your request for inspection or receipt of a copy(ies) of the SF 278 Executive Branch Personnel Public Financial Disclosure Report form(s) or other covered record(s) to which you seek access. Failure to furnish the information, except for your office telephone number (which is an optional item of information to be used to assist in contacting you about your request), will result in this agency's inability to allow access to, or to provide copies of, the financial disclosure report form(s) or other record(s) requested. Otherwise, furnishing the requested information is voluntary. The information on this form itself may be publicly disclosed pursuant to proper request under section 105(b) of the Ethics Act or as otherwise authorized by law.

Additional disclosures of the information on this form may be made:

(1) to a Federal, State or local law enforcement agency if the disclosing agency becomes aware of a violation or potential violation of law or regulation;

(2) to a court or party in a court or Federal administrative proceeding if the Government is a party or in order to comply with a judge-issued subpoena;

(3) to a source when necessary to obtain information relevant to a conflict of interest investigation or decision;

(4) to the National Archives and Records Administration or the General Services Administration in records management inspections;

(5) to the Office of Management and Budget during legislative coordination on private relief legislation; and

(6) in response to a request for discovery or for the appearance of a witness in a pending judicial or administrative proceeding, if the information is relevant to the subject matter.

See also the OGE/GOVT-1 executive branchwide Privacy Act system of records.

C. Public Burden Information

Public burden reporting for this collection of information is estimated to take approximately ten minutes per response, including time for reviewing instructions, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Associate Director for Administration, U.S. Office of Government Ethics, Suite 500, 1201 New York Avenue, NW., Washington DC 20005-3917. **Do not** file this form with this official; rather, file it with the appropriate office of the executive branch department or agency from which you are seeking access to a financial disclosure report or other covered records.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0002, is displayed here and in the upper right-hand corner of the front page of this OGE Form 201).

III. Other Covered Records

In addition to requests for access to public SF 278 reports, this form can also be used to request access to certain other agency records which are covered under the access procedures of section 105 of the Ethics Act and the implementing OGE regulations ("covered records"). Such other covered records are: (1) certificates of divestiture; (2) Ethics Act qualified blind trust and qualified diversified trust instruments (other than those provisions which relate to the testamentary disposition of the trust assets), the list of assets transferred to such trusts (& of assets sold in the case of a qualified blind trust), as well as, in the case of trust dissolution, the report thereon and the list of trust assets at that time, and the certificates of independence and compliance with respect to qualified trusts; (3) 18 U.S.C. § 208(b)(1) & (3) waivers granted by the recipient agency (after deletion of any material withholdable pursuant to the Freedom of Information Act, 5 U.S.C. § 552 (see 18 U.S.C. § 208(d)(1)); and (4) other OGE Form 201s. If you seek access to any such additional record(s), check the second box in Part I.5 on the front page and specify the record(s) sought.