OGE Form 278-T (January 2013)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT: Periodic Transaction Report

Instructions for Completing the OGE Form 278-T

Who Must File

You must file a periodic transaction report if:

- you are in a position that requires you to file an annual or termination public financial disclosure report (OGE Form 278), and
- you have a reportable transaction as discussed below.

You are not required to file a negative report if you have no reportable transactions.

What to Report

Report any purchase, sale, or exchange by you, your spouse, or dependent child of stocks, bonds, commodity futures, and other securities if the amount of the transaction exceeded $1,000. You do not need to report: (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between you, your spouse, or dependent child.

For each reported transaction:

- Identify the security (e.g., "Central Airlines Co.").
- Mark a column to indicate the type of transaction.
- Provide the date that the transaction occurred.
- If you received notification of the transaction more than 30 days ago, mark the column labeled "Notification Received More Than 30 Days Ago." (Extensions of the due date should be noted in the "Notice of Extension" section.)
- Mark a column to indicate the amount of the transaction.

Voluntary Reporting of Annual/Termination Information

You do not need to report a transaction in an annual or termination report (OGE Form 278) if you have already reported the transaction in a periodic transaction report (OGE Form 278-T). Annual and termination reports, however, also require you to report purchases, sales, or exchanges of: (1) mutual funds and other excepted investment funds; and (2) real property (excluding your personal residence). If you prefer to report such transactions in your periodic transaction report(s) rather than in an annual or termination report, you may do so, unless your agency requires duplicate reporting.

When to File

Periodic transaction reporting is subject to two different deadlines. Under the Ethics in Government Act, you need to file a report:

- within 30 days of receiving notification of a transaction, but
- not later than 45 days after the transaction.

Which deadline applies depends on when you receive notification of the transaction. Normally, you need to disclose a transaction within 30 days of receiving the notification. For example, if you receive online confirmation of a transaction that you ordered earlier today, you will file your report within 30 days.

Sometimes, you might not receive notification right away. In that case, the 45-day deadline can shorten the period for filing your report. For example, if today you receive notification of a transaction that occurred early last month, you will need to be sure to file your report no later than 45 days after the transaction occurred. The 45-day period might end sooner than 30 days from today.

Example 1: You purchase a stock on July 1 and receive notification the same day. You need to report the purchase on or before July 31.

Example 2: You receive a statement on August 10 regarding a purchase that occurred on July 31. You need to report the purchase on or before September 9 because September 9 is 30 days after you received notification of the transaction.

Example 3: You receive a statement on August 10 regarding a purchase that occurred on July 1. You need to report the purchase on or before August 15. Although the 30-day period from notification ends September 9, the 45-day period from the date of the transaction ends earlier.

Note: These deadlines do not apply to any voluntary disclosures of annual and termination report information that you choose to make.

Extensions and Late Filing Fees

Your agency may grant an extension of up to 45 days for good cause shown with the possibility of one additional extension of up to 45 days. If your report is filed more than 30 days after the date the report is required to be filed, or, if an extension was granted, more than 30 days after the last day of the filing extension period, you shall be subject to a $200 late filing fee. A report is considered to be filed when it is received by your agency. Unless waived by your agency, your agency will collect the fee for deposit with the U.S. Treasury.

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT: Periodic Transaction Report

Instructions for Completing the OGE Form 278-T (continued)

Privacy Act

Title I of the Ethics in Government Act of 1978, as amended (EIGA), 5 U.S.C. app. § 101 et seq., and 5 C.F.R. Part 2634 of the U.S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with Federal conflicts of interest and financial disclosure laws and regulations. Pursuant to section 11 of the Stop Trading on Congressional Knowledge Act of 2012, Pub. L. No. 112-105 (2012) (STOCK Act), this report will be posted on your agency's website and/or the website of the U.S. Office of Government Ethics. This report may also be disclosed upon request to any requesting person pursuant to section 105 of EIGA or as otherwise authorized by law. Additional disclosures of the information on this report 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; (6) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (7) to reviewing officials in a new office, department or agency when an employee transfers from one covered position to another; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; and (9) to contractors and other non-Government employees working for the Federal Government to accomplish a function related to an OGE Governmentwide system of records. See also the OGE/GOVT-1 executive branchwide Privacy Act system of records. Knowing and willful falsification of information, or failure to file or report information required to be reported by section 102 of EIGA, may subject you to a civil monetary penalty and to disciplinary action by your employing agency or other appropriate authority under section 104 of EIGA. Knowing and willful falsification of information required to be filed by section 102 of EIGA may also subject you to criminal prosecution.

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Filer's Name *(Print Last, First, and Middle Initial)*	**Title of Position for Which Filing**	**Department or Agency**	
Certification: I CERTIFY that the statements I have made on this form and any attachments are true, complete, and correct to the best of my knowledge.	**Signature of the Filer**	**Date** *(Month, Day, Year)*	**Notice of Extension** ☐ Check if granted. Indicate number of days:

Signature of Intermediate Reviewing Official *(if required by agency)*	**Date** *(Month, Day, Year)*	**Agency Use Only**	**OGE Use Only**
Signature of Agency's Final Reviewing Official	**Date** *(Month, Day, Year)*	**Comments of Reviewing Officials**	
Signature of Reviewing Official at U.S. Office of Government Ethics *(if required)*	**Date** *(Month, Day, Year)*		

Transactions

Report any purchase, sale, or exchange by you, your spouse, or dependent child of stocks, bonds, commodity futures, and other securities if the amount of the transaction exceeded $1,000. You do not need to report: (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between you, your spouse, or dependent child.

Deadlines

You must file your report within **30 days** of when you receive **notification of a transaction** but not later than 45 days after the transaction. These deadlines do not apply to any voluntary additional disclosures you make. See the instructions.

	Identification of Assets	Transaction Date *(Mo./Day/Yr.)*	Notification Received More Than 30 Days Ago*	Transaction Type (x)			Amount of Transaction (x)										
				Purchase	Sale	Exchange	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Ex.	Central Airlines Co.	10/1/12		X					X								
Ex.	BMSL Propulsion, Inc.	9/4/12	X	X				X									
1			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
2			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
3			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
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5			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
6			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
7			☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

* Extensions of the due date should be noted in the "Notice of Extension" section of this form.

** This category applies only if the underlying asset is solely that of your spouse or dependent child. If the underlying asset is either held by you or jointly held by you with your spouse or dependent children, use the other higher categories of value, as appropriate.

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Filer's Name	**Transactions** continued (Use only if needed)	Page Number

	Identification of Assets	Transaction Date *(Mo./Day/Yr.)*	Notification Received More Than 30 Days Ago*	Transaction Type (x)			Amount of Transaction (x)										
				Purchase	Sale	Exchange	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
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