

## Office of the Secretary of the Treasury

## § 15.737-1

(d) The request adheres to the requirements set forth in § 14.4; and

(e) The notice requirements set forth in section 1108(4) of the Act, or the requirements pertaining to delay of notice in section 1109 of the Act are satisfied, except in situations where no notice is required. (e.g., section 1113(g))

### § 14.4 Contents of request.

The formal written request shall be in the form of a letter or memorandum to an appropriate official of the financial institution from which financial records are requested. The request shall be signed by an issuing official of the requesting Department unit. It shall set forth that official's name, title, business address and business phone number. The request shall also contain the following:

(a) The identity of the customer or customers to whom the records pertain;

(b) A reasonable description of the records sought;

(c) Any other information that the issuing official deems appropriate, e.g., the date on which the requesting Departmental unit expects to present a certificate of compliance with the applicable provisions of the Act, the name and title of the individual to whom disclosure is to be made, etc.

In cases where customer notice is delayed by a court order, a copy of the court order shall be attached to the formal written request.

### § 14.5 Certification.

Prior to obtaining the requested records pursuant to a formal written request, an official of a rank designated by the head of the requesting Departmental unit shall certify in writing to the financial institution that the Departmental unit has complied with the applicable provisions of the Act.

## PART 15—POST EMPLOYMENT CONFLICT OF INTEREST

### Subpart A—General Provisions

Sec.

15.737-1 Scope.

15.737-2 Definitions.

15.737-3 Director of Practice.

15.737-4 Other discipline.

15.737-5 Records.

### Subpart B—Rules Applicable to Post Employment Practice by Officers and Employees of the Department

15.737-6 Interpretative standards.

### Subpart C—Administrative Enforcement Proceedings

15.737-7 Authority to prohibit practice.

15.737-8 Special orders.

15.737-9 Receipt of information concerning former Treasury employee.

15.737-10 Conferences.

15.737-11 Institution of proceeding.

15.737-12 Contents of complaint.

15.737-13 Service of complaint and other papers.

15.737-14 Answer.

15.737-15 Reply to answer.

15.737-16 Proof; variance; amendment of pleadings.

15.737-17 Motions and requests.

15.737-18 Representation.

15.737-19 Administrative Law Judge.

15.737-20 Hearings.

15.737-21 Evidence.

15.737-22 Depositions.

15.737-23 Transcript.

15.737-24 Proposed findings and conclusions.

15.737-25 Decision of the Administrative Law Judge.

15.737-26 Appeal to the General Counsel.

15.737-27 Decision of the General Counsel.

15.737-28 Notice of disciplinary action.

### Subpart D—Other Departmental Proceedings

15.737-29 Review by the General Counsel.

AUTHORITY: 92 Stat. 1864 (18 U.S.C. 207), as amended.

SOURCE: 45 FR 39842, June 12, 1980, unless otherwise noted.

### Subpart A—General Provisions

#### § 15.737-1 Scope.

This part contains rules governing discipline of a former officer or employee of the Department of the Treasury because of a post employment conflict of interest. Such discipline may include prohibition from practice before the Department or a separate statutory agency thereof as those terms are defined in this part.