GUIDANCE ON ETHICS
THE STOCK ACT AND PRIVACY CONCERNS ON OGE FORM 278s

The STOCK Act, enacted into law on April 4, 2012, requires that all financial disclosure reports and transaction reports filed in 2012 or thereafter be electronically available on an agency website. With that in mind, filers should consider the following guidance and **not include on the report information, particularly personal information, that is not required to be listed.**

General Guidance
- Never put your social security number, birth date, home address, home telephone number, or spouse's or children's name on reports.

Cover Page
- Use your official Government address and telephone number.
  - Do not use a personal address or telephone number.

Schedule A – Assets and Income
- When reporting the assets or income of a spouse or dependent child do not use names, instead put "S", "DC1", "DC2", etc.
  - Do not include the names of family members in the name of a trust or other investment vehicle – use identifiers such as "S", "DC1", etc.
- Do not include account numbers. If you organize your assets by brokerage account or managed account, you need not identify the account or, if you do, describe the account using a generic term, such as [Name of Institution] Brokerage IRA Acct. # 1 (and be sure to use the same identifying information from year to year).
- Do not include street addresses of rental property or investment property—include only city and state.
- Do not report personal residences, including vacation homes, that are not rented out during the reporting period.
- Do not include checking accounts, savings accounts, or money market accounts if the total value in any specific institution is less than $5,000.
- Do not report the amount of spouse's or dependent children's income. Report only the source and type of income (such as "salary", "consulting fees", etc., with no value indicated for amount of income received).

Schedule B, Part I – Transactions
- Do not report transactions involving your personal residence, unless it is a rental property; if it is a rental property, list only the city and state, do not include the street address.
- Do not include account numbers.
- Do not include the name of a spouse or dependent child.
- Do not include transactions that preceded Government employment.

Schedule B, Part II – Gifts, Reimbursements, and Travel Expenses
- Do not report anything received as a gift from a relative.
- Do not report a gift of travel for official travel.
- Do not report gifts, reimbursements, and travel expenses that preceded Government employment.

Schedule C, Part I – Liabilities
- Do not report mortgages on a personal residence, unless: (1) the residence is rented out or is investment property or (2) you are a Presidential appointee in a position requiring Senate confirmation or are a Foreign Service officer at the ambassador level or are a NOAA Corps officer at pay level O-7 or above.
- Do not include a street address for rental or investment property; include only the state.

Schedule C, Part II – Agreements and Arrangements
- Do not include account numbers, street addresses, or similar personal information.

Schedule D, Part I – Positions Held Outside U.S. Government
- Do not report positions with religious, social, fraternal, or political entities.
- Do not report positions on advisory boards or other positions that are not as an officer, director, trustee, general partner, proprietor, representative, employee, or consultant.
- Do not report street addresses; list only a city and state.
- Do not report dates more specifically than month and year.

Schedule D, Part II – Compensation in Excess of $5,000 Paid by One Source
- Do not fill out this section unless you are a new entrant to a position requiring a public financial disclosure report.
- Do not include names of individuals unless you have first discussed the matter with an ethics attorney.

For guidance on these rules, employees should contact the Ethics Law and Programs Division at 202-482-5384 or ethicsdivision@doc.gov.

ETHICS LAW AND PROGRAMS DIVISION
OFFICE OF THE ASSISTANT GENERAL COUNSEL FOR ADMINISTRATION
UNITED STATES DEPARTMENT OF COMMERCE
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