

NOTIFICATION OF CONFLICT OF INTEREST REFERRAL PART 1: INITIAL NOTIFICATION

(to be filed by the referring office)

File Part 1 of this form with the U.S. Office of Government Ethics (OGE) upon any referral made to the U.S. Department of Justice (DOJ), pursuant to 28 U.S.C. § 535, involving:

- (1) A possible violation under section 203, 205, 207, 208, and/or 209 of title 18, United States Code;
- (2) A civil or criminal matter related to the filing or non-filing of a financial disclosure report under applicable legal authorities (*e.g.*, 5 U.S.C. app. § 104 or 18 U.S.C. § 1001); or
- (3) A civil matter involving outside earned income under 5 U.S.C. app. § 501 or outside activities under 5 U.S.C. app. § 502.

Submit this form via email to referrals@oge.gov. OGE will confirm receipt and notify the referring office of the OGE tracking number assigned.

1. Federal office referring the matter to the Department of Justice:	2. Date of referral:
3. Point of contact at the referring office:	
Name:	Title:
Telephone:	Email:
4. Tracking/investigation number assigned by the referring office:	
5. Department of Justice office to which the matter was referred:	
Public Integrity Section, Criminal Division	
U.S. Attorney (<i>specify district</i>)	
Other DOJ office (<i>specify office</i>)	

OGE use only

OGE tracking number:	
	Date received:

NOTIFICATION OF CONFLICT OF INTEREST REFERRAL PART 2: DISPOSITION OF REFERRAL

(to be filed by the referring office)

File Part 2 of this form with the U.S. Office of Government Ethics (OGE) following the referral made to the U.S. Department of Justice (DOJ), pursuant to 28 U.S.C. § 535, after both of the following have occurred:

- (1) DOJ has (a) declined prosecution; (b) initiated prosecution or taken other legal action that is a matter of public record; or (c) settled the matter through formal agreement; **and**
- (2) Investigation of the matter has concluded.

Submit this form via email to referrals@oge.gov. OGE will confirm receipt.

1. Federal office referring the matter to the Department of Justice:

2. Point of contact at the referring office:

Name:

Title:

Telephone:

Email:

3. Tracking/investigation number assigned by the referring office:

4. OGE tracking number:

5. Statutes involved in the matter (*mark all that apply*):

18 U.S.C. § 203

18 U.S.C. § 1001 (*in connection with financial disclosure or other ethics documents only*)

18 U.S.C. § 205

5 U.S.C. app. § 104 (*financial disclosure*)

18 U.S.C. § 207

5 U.S.C. app. § 501 (*outside earned income*)

18 U.S.C. § 208

5 U.S.C. app. § 502 (*outside activities*)

18 U.S.C. § 209

Other (*specify*):

6. Disposition of the referral to DOJ:

7. Has there been an adverse finding regarding the employee involved related to the Standards of Ethical Conduct for Employees of the Executive Branch (5 C.F.R. part 2635) or agency supplemental standards of conduct?

yes (*complete boxes 8-12 below*)

no (*do not complete the rest of this form*)

If the response in box 7 is “yes,” complete boxes 8-12, below.

8. Name and title of the employee or former employee involved:

9. Agency component where the employee/former employee is/was employed:

10. Has the employing agency considered taking corrective action against the employee?

yes

no

unknown

11. Have you elected to attach either a report of investigation or summary?

yes

no

12. (*optional*) Provide any other information you consider pertinent:

NOTIFICATION OF CONFLICT OF INTEREST REFERRAL PART 3: CONSIDERATION OF CORRECTIVE ACTION

(to be filed by the DAEO of the employing agency or the DAEO's designee)

File Part 3 of this form with the U.S. Office of Government Ethics (OGE) following the referral made to the U.S. Department of Justice (DOJ), pursuant to 28 U.S.C. § 535, after all of the following have occurred:

- (1) DOJ has (a) declined prosecution; (b) initiated prosecution or taken other legal action that is a matter of public record; or (c) settled the matter through formal agreement;
- (2) Investigation of the matter has concluded; **and**
- (3) The referring office has made an adverse finding regarding the employee involved related to the Standards of Ethical Conduct for Employees of the Executive Branch or any agency supplemental standards of conduct.

Submit this form via email to referrals@oge.gov. OGE will confirm receipt.

OGE use only

Referring office tracking/investigation number:	OGE tracking number:
Name of agency employee involved:	Agency:
Name of Designated Agency Ethics Official:	Telephone:
Name of OGE point of contact:	Telephone:

1. Whether or not action is warranted, provide the name and title of the agency official who has authority to take disciplinary or correction action with regard to the employee involved.

Name:

Title:

2. Has disciplinary or other corrective action been either initiated (*e.g.*, advance written notice issued pursuant to 5 U.S.C. § 7513) or taken?

yes (*describe action below, then skip to box 4*)

no

Describe any disciplinary action or other corrective action initiated or taken:

3. If disciplinary or other corrective action has not been initiated or taken, did the official identified in box 1, above, actively consider whether such action was warranted before affirmatively deciding not to take action?

yes

no (*explain why not below*)

If the response in box 3 is “no,” explain why not:

Mark this box if additional sheets or documents are attached.

Attachments

4. Name, title and contact information of DAEO or DAEO’s designee signing this form:

Name:

Title:

Telephone:

Email:

5. I certify that I have exercised due diligence in gathering the requested information and that the information provided in this form is accurate and complete to the best of my information and belief.

Signature

Date