

REQUEST FOR A CERTIFICATE OF DIVESTITURE
(must be completed by the agency, not by the requesting employee)

Requesting employee's name and position title:	Employing agency and component:
Agency point of contact:	Telephone number and email address for agency point of contact:
Signature of DAEO or ADAEO:	Date signed:

For complete instructions on requesting a Certificate of Divestiture (CD), please review 5 C.F.R. part 2634, subpart J.

1. Provide the requested information about the property being divested and the owner(s) of that property (see sample table to the right):

(a) description of the property: include the name of the property being divested;

(b) quantity or percentage owned: quantity may be represented by the number of shares of stock, units owned, or percentage of the partnership owned;

(c) owner(s) of the property: provide the full name of the owner(s) of the property; and

(d) relationship to the employee: indicate whether each property owner is one of the following: (i) a government employee; (ii) a spouse, a minor child or a dependent child of the government employee; or (iii) a trustee of a trust for the benefit of the government employee, the spouse, minor or dependent child of the government employee.

(a) Description of the property	(b) Quantity or percentage owned	(c) Owner(s) of the property	(d) Relationship to the employee
McDonald's Corp.	57 shares	John A. Jones	self
General Electric Co.	251 shares	John A. Jones (joint) Mary B. Jones	self spouse
Play Toys, LP	12.24% interest	Mary B. Jones	spouse
Merck & Co., Inc.	33 shares	William C. Smith	trustee
Coca-Cola, Co.	55 shares	John A. Jones (as custodian) Robert D. Jones	self dependent child

Please provide the requested information in an Excel spreadsheet or Word document if a CD is being requested for more than six holdings. Please do not submit financial statements.

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2. Provide a brief description of the employee's position or provide a citation to a statute or regulation that sets forth the duties of the position. **(If additional space is needed, please use the [continuation page](#) at the end of the format.)**

3. Provide a detailed explanation of the basis for your conclusion that divestiture is reasonably necessary to comply with Federal ethics rules. **(If additional space is needed, please use the [continuation page](#) at the end of the format.)**

4. Provide the date that the requirement to divest first applied or the date the employee first agreed that the eligible person would divest the property in order to comply with conflict of interest requirements. **(If additional space is needed, please use the [continuation page](#) at the end of the format.)**

5. Please address all items below **(If additional space is needed, please use the [continuation page](#) at the end of the format.):**

a. Has the employee been informed of their obligation to recuse from particular matters in which the employee would have a disqualifying financial interest arising from the property described in the employee's request for a Certificate of Divestiture?

Yes No (if no, please explain using the [continuation page](#))

b. Was the property acquired prior to appointment?

Yes No (if no, please explain using the [continuation page](#))

c. Will divestiture of the property incur capital gains rather than ordinary income?

Yes No (if no, please explain using the [continuation page](#))

d. Has the ethics office confirmed that none of the employee's other financial interests are "similar or related" to the property being divested (i.e., will divestiture resolve the entire conflict)?

Yes No (if no or if additional explanation is needed, please explain using the [continuation page](#))

e. Has the ethics office confirmed that the property being divested is not held in an account that can be rolled into permissible property in a tax-deferred account without incurring capital gains (e.g., IRA, 401(k), etc.)?

Yes No (if no, please explain using the [continuation page](#))

f. Is the request within the divestiture deadline?

Yes No (if no, please explain using the [continuation page](#))

6. Are there any other factors that are not addressed above that weigh against issuing a certificate of divestiture (e.g., is the ethics office aware that the employee may be leaving the Government soon, or is under investigation or subject to a disciplinary action related to the conflict of interest requirements)? If yes, provide a detailed statement identifying the factors that weigh against issuing a certificate of divestiture on a [continuation page](#).

Yes No

7. Please confirm that you are submitting a completed CD package, including:

a. A written request from the employee that includes an unconditional statement that the eligible person holding the property (i.e., the employee, spouse, and/or relevant trustee) has agreed to divest the property.

Yes No

b. A copy of the employee's most recent financial disclosure report including any required subsequent Periodic Transaction Reports, or a list of the equivalent information if the employee does not file a financial disclosure report.

Yes No

c. A copy of the trust document if any of the property is held in a trust.

N/A Yes No

8. Please provide any additional information that you would like OGE to consider when processing the request. **(If additional space is needed, please use the [continuation page](#) at the end of the format.)**

Please send the completed CD package to CD@oge.gov or to the following address: Director, U.S. Office of Government Ethics, 1201 New York Avenue, NW, Suite 500, Washington, DC 20005-3917.

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Before each response, please indicate the question for which you are providing additional information.

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