



Pre-hire Conflict of Interest Screening

An equal opportunity employer

Name: _____ Division: _____

Title of job for which you are applying: _____

Working for the central bank of the United States carries with it responsibility for maintaining public trust in the Federal Reserve System. In order to determine whether your financial interests or outside relationships pose any potential conflicts of interest, we require you to provide the information requested below to the extent not previously described on your employment application (FR 28), which is hereby incorporated by reference.

Financial Interests

To the best of your knowledge, list any debt or equity interests, such as stocks or bonds, owned directly or indirectly (such as through a trust) by you, your spouse, or minor child(ren) in any: bank or bank holding company; savings & loan holding company; thrifts; consulting firm or law firm advising financial institutions; economic forecasting firm or other economic consulting firm; or a vendor or contractor that you know works with the Federal Reserve. In addition, list any interests in a mutual fund or exchange traded fund with a policy of concentrating in the financial sector.¹

1. Financial sector funds typically have terms like "Banking" or "Financial" in their names. Diversified funds (e.g., large cap funds, S&P 500 funds, targeted retirement date funds) do not need to be reported. If you are unsure about whether an asset falls into any of these categories, please notify your Board Human Resources representative.

☐ Check here if you have nothing to report for this section.

| Financial Interest | Owner |
|--------------------|-------|
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Relatives in Related Businesses

To the best of your knowledge, disclose any position held by your spouse, child, parent, or sibling as an employee, officer, director, or trustee of: any bank, bank holding company, savings & loan holding company, or affiliate of any such entity; consulting firm or law firm advising financial institutions; economic forecasting or other economic consulting firm; or a vendor/contractor that you know works with the Federal Reserve.

☐ Check here if you have nothing to report for this section.

| Company or Entity | Position | Relationship |
|-------------------|----------|--------------|
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Outside Positions and Activities

A Board employee's compensated outside employment must be reviewed and approved by the employee's division and the Board's Ethics Office, and some unpaid positions can raise conflicts of interest concerns. Please disclose below any outside employment, paid work, or business you plan to engage in if you become a Board employee. Please also disclose any outside position². **(including an uncompensated position)** you plan to hold while employed by the Board. Do not disclose positions with religious, social, fraternal, or political entities.

2. Reportable positions include officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, or any non-profit organization or educational institution.

Public reporting burden for this collection of information is estimated to average 0.5 hours per response, including the time to gather and maintain data in the required form and to review instructions and complete the information collection. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Secretary, Board of Governors of the Federal Reserve System, Washington, DC 20551; and to the Office of Management and Budget, Paperwork Reduction Project (7100 -0379), Washington, DC 20503. The Federal Reserve may not conduct or sponsor, and an organization (or a person) is not required to respond to a collection of information unless it displays a currently valid OMB control number.

Pre-hire Conflict of Interest Screening—(continued)

☐ Check here if you have nothing to report for this section.

| Name of Organization, Employer, or Business | Position |
|---|----------|
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Other Potential Conflicts

In the space below, please disclose any other situations, arrangements, or investments that you believe could pose a conflict of interest based on the duties of the position for which you are applying.

☐ Check here if you have nothing to report for this section.

I certify that my statements on this form, and any attachments to it, are true, complete, and correct to the best of my knowledge and belief and are made in good faith.

By typing my name, I am signing this document electronically and intend that my electronic signature be treated as the legal equivalent of having placed my handwritten signature on this document. I affirm that the information I have submitted is complete and true to the best of my knowledge.

Name: _____

Date (MM/DD/YYYY) _____

Privacy Act Statement

AUTHORITY

The collection of this information is authorized by Section 10 of the Federal Reserve Act (12 U.S.C. § 244), the Ethics in Government Act of 1978, 5 U.S.C. app; the Ethics Reform Act of 1989, Pub. L. 101-194; and 5 C.F.R. 2638.104(c)(2) and (4).

PURPOSE

The Board collects the information you provide on this form in order to manage and document compliance with the Board's and the Federal Government's ethics program requirements.

DISCLOSURE

Furnishing this information is voluntary; however, failure to furnish the requested information may delay or prevent employment by the Board.

ROUTINE USES

The information you provide will be stored in the system of records entitled BGFRS-1 "FRB—Recruiting, Onboarding, and Placement Records" and BGFRS-41 "FRB—Ethics Program Records." All or part of the information may be disclosed outside the Board in accordance with routine uses, A, B, C, D, E, F, G, H, I, and J (see "General Routine Uses of Board Systems of Records available at <https://www.federalreserve.gov/files/SORN-page-general-routine-uses-of-board-systems-of-records.pdf>).

Furthermore, all or part of the information may be disclosed outside of the Board in order: to disclose information to any source from which additional information is requested (to the extent necessary to identify the individual, inform the source of the purpose(s) of the request, and identify the type of information requested), when necessary to obtain information relevant to a Board decision to hire or retain an employee, issue a security clearance, conduct a security or suitability investigation of an individual, classify jobs, let a contract, or issue a license, grant or other benefit.