

## OGE 278-T Periodic Transaction Reports

**BLUF:** The STOCK Act, *as amended*, requires OGE 278e Filers to file Periodic Transaction Reports (OGE Form 278-T) for securities transactions greater than \$1000. Reports must be filed within 30 days of when you receive notification of a transaction, but not later than 45 days after the transaction took place – late penalties of \$200 per report apply.

**Statutory Requirement:** As a Public Financial Disclosure Report (OGE 278e) filer, you MUST file an OGE Form 278-T for any purchase, sale, or exchange by you, your spouse, or your dependent child(ren) of stocks, bonds, commodity futures, and other securities if the amount of the transaction exceeded \$1,000.

**Exceptions:** You do **not** need to report transactions involving:

- (1) Mutual funds and other excepted investment funds;
- (2) Certificates of deposit, savings or checking accounts, and money market accounts;
- (3) U.S. Treasury bills, notes, and bonds;
- (4) Thrift Savings Plan accounts;
- (5) Real property;
- (6) Bond or Note maturity
- (7) Transactions that are solely between you, your spouse or your dependent child.

### **Filing:**

**FDM Filers** - Periodic Transaction Reports are not filed in FDM. Rather, they are filed manually with your local ethics official. Blank report forms can be found at:

[https://www.oge.gov/Web/oge.nsf/Resources/OGE+Form+278T+\(PDF+version\)](https://www.oge.gov/Web/oge.nsf/Resources/OGE+Form+278T+(PDF+version)).

Forms may be submitted electronically via e-mail to [osd.financialdisclosure@mail.mil](mailto:osd.financialdisclosure@mail.mil).

**Integrity Filers** – You must file your OGE 278-T in Integrity.gov. Instructions: After logging in, click on “My Tasks.” You will see three sections, the middle one is “My Tools.” Under “My Tools,” click on “278-T.” You can then follow the prompts to complete the form. When you file your annual report, you can populate the transaction section from your 278-T reports. A 278-T tutorial can be found at:

<https://community.max.gov/display/OGEEExternal/Information+for+Filers#InformationforFilers-Filing278T>

**Supervisory Review:** Supervisors need not sign the OGE Form 278-T, however, you should provide a copy to your immediate supervisor so that he or she can assess whether any newly acquired financial asset poses a potential conflict of interest with respect to your official duties and forecasted assignments.

Supervisors should consult an ethics official if a potential conflict of interest with the employee’s duties is identified.

**Late Filing Fees:** A \$200 late filing fee will be assessed for each late report. If you believe you cannot meet an OGE Form 278-T filing deadline, promptly contact SOCO to determine if you qualify for an extension of time to file.

Please direct any questions concerning your reporting requirement to your Agency Ethics Official.