



**ETHICS IN GOVERNMENT ACT**  
**PERIODIC TRANSACTION REPORT FORM**  
**AND INSTRUCTIONS**

# Instruction Guide and Form for Completing Ethics In Government Act Periodic Transaction Reports

Members, officers, and employees who qualify as “senior staff” under the Ethics in Government Act of 1978 are required to file Periodic Transaction Reports (PTRs or Reports). In general, you must report on a PTR each purchase, sale, or exchange involving **stocks, bonds, commodities futures, or other securities (e.g., cryptocurrencies) owned by you, your spouse, or your dependent child when the amount of the transaction exceeds \$1,000.** For sales transactions, the \$1,000 threshold is based on the total dollar value of the transaction, not your gain or loss made on the sale.

**Note: If you, your spouse, or your dependent children do not have reportable transactions, no PTR is required (although some transactions may be reportable on your annual FD).**

**Purchase transactions** which must be disclosed include:

- Individual purchases involving an asset listed above in which the transaction amount exceeds \$1,000; or
- Reinvestment of income (such as dividends or interest) in a reportable asset in which the amount of the reinvestment transaction exceeds \$1,000.

**Sale transactions** which must be disclosed are:

- Individual sales involving an asset in which the transaction amount exceeds \$1,000.

Where only a portion of an asset is sold (e.g., half of your shares in Mega Corporation), please check the “Partial Sale” box.

**Exchange transactions** are somewhat rare and refer only to limited circumstances. One set of circumstances involves the exchange of stock certificates following the purchase of one company by another or a merger of two companies. Please consult with Committee staff for further guidance.

**You are not required to report on a PTR any transactions in a widely held investment fund (e.g., a mutual fund) if:**

1. **You neither exercise control over nor have the ability to exercise control over the financial interests held by the fund, and**
2. **(a) The fund is publicly traded; or  
(b) The assets of the fund are widely diversified.**

A fund is widely diversified if it both:

1. Holds no more than 5% of the value of its portfolio in the securities of any issuer (other than the U.S. government), and
2. Holds no more than 20% of the value of its portfolio in any particular economic sector or geographic region.

Further explanation of these terms is available in the “Instruction Guide for Completing Financial Disclosure Reports and Periodic Transaction Reports” available on the Committee website:

<https://ethics.house.gov>.

**Note:** Transactions in these assets must still be reported on your annual FD Report.

**Purchase and sale transactions involving assets held within self-directed retirement accounts such as 401(k) plans and IRAs must be disclosed.** For example, if you have a 401(k) plan and direct the plan administrator to sell or purchase stocks, bonds, or other securities, you must separately disclose on a PTR each of these transactions valued over \$1,000. Transfers between currently-held assets within these accounts are also considered purchase and sale transactions for financial disclosure purposes. These types of transfers are commonly referred to as reallocation or rebalancing of funds.

The reporting threshold for disclosure of transactions is reached when the *gross* amount of a single purchase or sale transaction

exceeds \$1,000. *This includes transactions that result in a net loss.* Thus, a sale transaction of an asset for \$5,000 for which you previously paid \$7,000 must be disclosed even though it resulted in a \$2,000 net loss.

**Partnership Transactions.** You are only required to disclose transactions related to the ownership interests in partnerships and limited liability companies that were formed for the purpose of holding investments. If, for example, you are a partner in a limited partnership that transacted in five stocks, you must separately disclose each transaction for which your interest exceeds \$1,000.

## Column-by-Column Instructions

**IPO Check Box.** You must indicate whether you were allocated any shares to purchase in an Initial Public Offering by checking the appropriate box.

**SP/DC/JT Ownership Column.** You may, *but are not required to*, indicate that a transaction involves an asset that is held by your spouse or dependent child, or is jointly held, by including an “SP” for spouse, “DC” for dependent child, or “JT” for jointly held property. If you use this distinction on your annual FD Report, please use it on your PTR.

**Asset Column.** Provide the complete name of the asset for which a reportable transaction has occurred. Do not use ticker symbols.

**Type of Transaction Column.** Indicate the type of transaction (purchase, sale, or exchange) by placing an “X” in the appropriate box.

**Date of Transaction Column.** Indicate the month, day, and year of the transaction. For securities, the transaction date is generally the date the security was traded.

### **Date Notified of Transaction Column.**

Indicate the month, day, and year that you were notified of the transaction.

**Amount of Transaction Column.** Report the category of value of the total purchase price or total sale price (or the fair market value in the case of an exchange) of the transaction. As explained above, use the *gross* amount of a transaction to determine which value category amount to disclose. The amount of any capital gain or loss on the transaction is irrelevant for the purposes of determining the transaction amount. The column “Transaction in a Spouse or Dependent Child Asset over \$1,000,000” should only be used for assets that are owned by your spouse or dependent child, in which you have no interest.

***You may not send brokerage statement in lieu of completing, or as an attachment to, the PTR form.***

### **Exclusions**

The following transactions are not required to be disclosed on a PTR:

- Any transaction in real property;
- The purchase or sale of any widely held investment fund that is either publicly traded or widely diversified and is not controlled by the filer;
- Any transaction in a mutual fund or Exchange Traded Fund (ETF);
- Any transactions solely by and between you, your spouse, or your dependent child;
- Any transaction in a federal retirement program, such as the Thrift Savings Plan (TSP);
- Stock splits;
- Bequests or inheritances;
- The opening or closing of bank or similar accounts (such as money market funds), or deposits or withdrawals from a bank account;
- The purchase or sale of certificates of deposit; and

- The rollover of assets from one retirement account to another.

**Note: You may still be required to report some of these transactions on your annual FD Report.**

### **Signature**

You must sign and date the signature page after completing the PTR. By your signature, you are certifying that the report is accurate and complete to the best of your knowledge and belief. Additionally, you are certifying that, to date, you have disclosed all transactions as required by the STOCK Act. This page must be signed by you *personally*, not by someone acting on your behalf, even if someone else prepared or assisted you in completing the Report.

### **Due Date of Filing**

A PTR must be filed by the earlier of these two dates: (a) 30 days from being made aware of the transaction or (b) 45 days from the transaction. PTR deadlines will not be extended to the following business day if the original due date falls on a weekend or federal holiday. If the deadline falls on a holiday or weekend, the PTR can still be timely filed through the online filing system that day, but if a filer submits the PTR using the paper form, it must be received by the Clerk or legibly postmarked by the last business day before the holiday or weekend.

Extensions will not be granted for PTRs.

***A \$200 penalty shall be assessed against anyone who files more than 30 days late.***

### **Where to File and Number of Copies**

The PTR (and any amendments) must be filed with the Clerk of the House of Representatives, Legislative Resource Center, Room B-81 Cannon House Office Building,

Washington, DC. 20515. Members should submit one original (with an original signature) and two photocopies of their completed and signed Report. Officers and employees should submit one original (with an original signature) and one photocopy of their completed and signed Report.

### **Getting Assistance**

Filers are encouraged to carefully read these instructions. Any filer who has questions concerning the reporting requirements or how to fill out the PTR should call the Committee at (202) 225-7103. Additional copies of the form can be obtained by visiting the Committee website at <https://ethics.house.gov> and clicking on the “Financial Disclosure” tab. If you would like additional information about financial disclosure requirements generally, it can be found in the Instruction Guide, also available on the website.

**Note: PTRs are required by the Ethics in Government Act of 1978, as amended. The reports will be available to the public and will be reviewed by the Committee on Ethics or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file a PTR may be subject to civil penalties and criminal sanctions. See section 104 of the Ethics in Government Act (5 U.S.C. app. §§ 101-111) and 18 U.S.C. § 1001.**

**THE PERIODIC TRANSACTION REPORT MUST BE SIGNED AND DATED BY THE REPORTING INDIVIDUAL.**

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**ETHICS IN GOVERNMENT ACT**  
**PERIODIC TRANSACTION REPORT**

Please provide the following information. Your address and signature WILL NOT be made available to the public.

(Print Full Name)	(Daytime Telephone)
(Complete Address – Office or Home)	

Filer Status:     Member     Officer or Employee

**CERTIFICATION – THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED**

The attached Periodic Transaction Report (PTR) is required by the Ethics in Government Act of 1978, as amended by the Representative Louise McIntosh Slaughter Stop Trading on Congressional Knowledge (STOCK) Act. The PTR will be available to the public and will be reviewed by the Committee on Ethics or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file the attached report may be subject to civil penalties and criminal sanctions. See Section 104 of the Ethics in Government Act (5 U.S.C. app. §§ 101-111) and 18 U.S.C. § 1001.

Certification	Signature of Reporting Individual	Date
I CERTIFY that the statement I have made on the attached Periodic Transaction Report are true, complete, and correct to the best of my knowledge and belief. Further, I CERTIFY that I have disclosed all transactions as required by the STOCK Act.		

**Members must file a signed original and two photocopies thereof.**  
**Officers and employees must file a signed original and one photocopy thereof.**  
**\*\*\*FOR OFFICIAL USE ONLY – DO NOT WRITE BELOW\*\*\***

Certification	Signature of Certifying Official	Date
It is my opinion, based on the information contained in this Periodic Transaction Report, that the reporting individual is in compliance with title I of the Ethics in Government Act (5 U.S.C. app. §§ 101-111).		



Periodic Transaction Report

FULL ASSET NAME		TYPE OF TRANSACTION				DATE OF TRANSACTION (MM/DD/YY)	DATE NOTIFIED OF TRANSACTION (MM/DD/YY)	AMOUNT OF TRANSACTION												
								A	B	C	D	E	F	G	H	I	J	K		
SP DC JT	Provide full name, not ticker symbol.	Purchase	Sale	Partial Sale	Exchange	(MM/DD/YY)	(MM/DD/YY)	\$1,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000	Transaction in a Spouse or Dependent Child's Asset over \$1,000,000		
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NOTE NUMBER	FILER NOTES