

## CERTIFICATION OF ETHICS AGREEMENT COMPLIANCE


Senate Confirmed Presidential Appointee

1. Appointee's Information	a. Appointee's Name:	to be completed by OGE <b>Jerome M. Adams</b>
	b. Position Title:	to be completed by OGE <b>Surgeon General</b>
	c. Agency:	to be completed by OGE <b>Department of Health and Human Services</b>
	d. Date Ethics Agreement Signed:	to be completed by OGE <b>July 3, 2017</b>
	e. Date Confirmed:	to be completed by OGE <b>August 3, 2017</b>
	f. Due Date for Certification of Ethics Agreement Compliance:	to be completed by OGE <b>November 8, 2017</b>
2. Resignations	<i>I completed all of the resignations indicated in my ethics agreement before I assumed the duties of my current government position.</i>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A
3. Divestitures	a. <i>I have completed all of the divestitures indicated in my ethics agreement. I also understand that I may not repurchase these assets during my appointment without OGE's prior approval.</i>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A
	b. <i>I have filed a period transaction report, or periodic transaction reports, (OGE Form 278-T) to disclose the completion of these agreed upon divestitures.</i>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A Filing Date(s) of OGE Form 278-T Report(s):
4. Managed Accounts	<i>If I have a managed account or use the services of an investment professional, I have notified the manager or professional of the limitations indicated in my ethics agreement. In addition, I am continuing to monitor purchases.</i>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A
5. Interim Recusals	<i>I complied with my interim recusal obligations pending the divestitures required by my ethics agreement.</i>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A

Jerome M. Adams

<p><b>6.</b> <b>Recusals</b></p> <p><i>(Note: These factual statements describe the appointee's current status. They are not intended to modify ethics agreement commitments or create new recusal obligations.)</i></p>	<p>a. I am recusing from particular matters in which I know I have a <u>personal or imputed</u> financial interest directly and predictably affected by the matter, unless I have received a waiver or qualify for a regulatory exemption.</p>	<p><input checked="" type="radio"/> Yes    <input type="radio"/> No</p>
	<p>b. I am recusing from particular matters in which any former employer or client I served in the past year is a party or represents a party, unless I have been authorized under 5 C.F.R. § 2635.502(d).</p>	<p><input checked="" type="radio"/> Yes    <input type="radio"/> No    <input type="radio"/> N/A</p>
	<p>c. I am recusing from particular matters in which any former employer or client I served in the two years prior to my appointment is a party or represents a party, unless I have received a waiver under Exec. Order 13770.</p>	<p><input checked="" type="radio"/> Yes    <input type="radio"/> No    <input type="radio"/> N/A</p>
<p><b>7.</b> <b>Waivers and Authorizations</b></p>	<p>a. I received a waiver pursuant to 18 U.S.C. § 208.</p> <p>If yes, indicate the date of the waiver and indicate the financial interest covered by the waiver.</p>	<p><input type="radio"/> Yes    <input checked="" type="radio"/> No</p> <p>Date:</p> <p>Financial interest:</p>
	<p>b. I received a waiver pursuant to Executive Order 13770.</p> <p>If yes, indicate the date of the waiver and the subject of the waiver (i.e., applicable paragraph of the ethics pledge, parties, particular matters, specific issue areas, as applicable).</p>	<p><input type="radio"/> Yes    <input checked="" type="radio"/> No</p> <p>Date:</p> <p>Subject:</p>
	<p>c. I received an authorization pursuant to 5 C.F.R. § 2635.502(d).</p> <p>If yes, indicate date of authorization and identify the covered person(s) as to whom you have been authorized (e.g., former employer, former client, spouse's employer, spouse's current client, etc.).</p>	<p><input type="radio"/> Yes    <input checked="" type="radio"/> No</p> <p>Date:</p> <p>Covered person(s):</p>
	<p>d. I received a waiver pursuant to 5 C.F.R. § 2635.503(c).</p> <p>If yes, indicate the date of the waiver and identify the former employer or payer.</p>	<p><input type="radio"/> Yes    <input checked="" type="radio"/> No</p> <p>Date:</p> <p>Former employer or payer:</p>

Jerome M. Adams

<p>8.                  Payments,                  Accelerations,                  or Divestitures                  Required to be                  Completed                  Prior to                  Entering                  Government                  Service</p>	<p>Mark this                  box if not                  applicable:  <input checked="" type="checkbox"/></p>	<p>a. <i>If I committed that I would                  forfeit a financial interest or                  payment, unless it was                  received or accelerated prior to                  my assumption of the duties                  of the government position:</i></p>	<p><input type="radio"/> <i>I received it (or it was accelerated) <u>prior to</u> my                  assumption of the duties of the position.</i>  <input type="radio"/> <i>I received it (or it was accelerated) <u>after</u> my                  assumption of the duties of the position.</i>  <input type="radio"/> <i>I forfeited it.</i></p>
<p>9.                  Requirements                  for Regular                  Appointees</p>	<p><i>I have completed my initial ethics briefing,                  pursuant to 5 C.F.R. § 2638.305.</i>                  If you are a Special Government Employee                  (SGE) or career Foreign Service Officer (FSO),                  select N/A.</p>	<p><input checked="" type="radio"/> Yes    <input type="radio"/> No    <input type="radio"/> N/A</p>	
<p>Requirements                  for Regular                  Appointees</p>	<p><i>I have signed the ethics pledge pursuant to                  Executive Order 13770.</i>                  If you are a SGE or career FSO or previously                  signed the pledge, select N/A.</p>	<p><input checked="" type="radio"/> Yes    <input type="radio"/> No    <input type="radio"/> N/A</p>	
<p>10.                  Additional                  Ethics                  Agreement                  Requirements</p>	<p>to be completed by OGE:</p>	<p>to be completed by appointee  <i>I am complying with these requirements as described in                  the adjacent box.</i>  <input type="radio"/> Yes    <input type="radio"/> No    <input checked="" type="radio"/> N/A</p>	
<p>11.                  Comments of                  Appointee</p>			
<p>Any intentionally false or misleading statement or response provided in this certification is a violation of law punishable by a fine or imprisonment, or both, under 18 U.S.C. § 1001.</p>			
<p><i>I certify that the information                  I have provided is complete                  and accurate.</i></p>	<p>Appointee's Signature:  </p>	<p>Date:                  10/12/17</p>	