

PERIODIC TRANSACTION REPORT – OGE 278-T



When to File a Periodic Transaction Report (PTR)

Within 30 days of receiving notice of a reportable transaction, but not later than 45 days after the transaction. File a PTR only if you have a reportable transaction.

The easiest way to comply: At the beginning of each month, check whether you had a reportable transaction during the prior month. If so, file a PTR

Transactions to Report on a PTR

Purchases, sales, and exchanges of stocks, bonds, futures, options, and other securities over \$1,000 (per transaction) while you are a public financial disclosure filer, unless an exception applies. This includes transactions by your spouse or dependent children.

Transactions You Do Not Need to Report on a PTR

The key reporting exceptions are:

- Mutual funds, exchange-traded funds, and other similar excepted investment funds (EIFs) – Note: these will be reported on your Annual Report
- Real property - Note: these will be reported on your Annual Report
- Cash accounts and U.S. Treasury securities, including U.S. Savings Bonds
- Holdings of your TSP, FERS, or other federal retirement plan

How to Report a Transaction on a PTR

You can file a periodic transaction report the same way you file your annual financial disclosure report, through *Integrity.gov* or your agency's electronic filing system.

You will need to report:

- The **name** of the security
- The **type** of transaction – purchase, sale, exchange
- The **date** of the transaction – use the trade date, not the settlement date
- The **amount** of the transaction within a category of value
- Whether you received notification of the transaction more than 30 days ago.

Description	Type	Date	Notification Received Over 30 Days Ago	Amount
ABC Corp.	sale	7/15/2022	No	\$15,001 - \$50,000
iTrade Broad Commodity ETN	purchase	6/10/2022	No	\$1,001 - \$15,000

Additional Information

Reportable securities

Below are common examples of the types of securities that result in reportable transactions. This list is not exhaustive, so please consult with your ethics official if you have a question.

- Stocks
- Bonds
- Dividend reinvestments, including automatic reinvestments
- Options (even if there was a cashless exercise)
 - Including options on exchange-traded funds and mutual funds
- Warrants
- Futures
- Stock in REITs and MLPs
- Equity-linked notes
- Exchange-traded notes
- Sale of a partnership or LLC interest if the partnership or LLC is not an EIF

Transactions in a managed account, robo-advisor account, or trust

The transactions in managed accounts (including robo-advisor accounts) and trusts benefiting you, your spouse or dependent child are required to be reported if they meet the requirements above.

Where to find information about your reportable transactions

For the accounts or trusts that had transactions, you will need either statements or online access that provides detail about each transaction in the account or trust.