

Form Approved: OMB No. 3209-0007

BLIND TRUST COMMUNICATIONS

**Expedited procedure for securing approval of proposed communications.**

Under the requirements of the Ethics in Government Act, the regulations of the Office of Government Ethics, and the provisions of trust instruments which have been approved by this Office, all communications between the trustee of a qualified trust and the interested parties or their representatives must be in writing and specifically approved by the Director of the Office of Government Ethics prior to being transmitted. No oral communications are permitted. The only exceptions to the prior approval requirement for written communications relate to quarterly and annual reports conforming to standard formats which are distributed by the trustee.

The most expedient manner of securing prior approval is to transmit a copy of the proposed communication to this Office by fax: **202-208-8037**. Address the cover sheet to the attention of the attorney assigned to your trust.

Our staff is always available to discuss a proposed communication or any other concerns which may arise by telephone: **202-208-8000**. Please direct your telephone calls to the attorney assigned to your trust.

January 15, 1998

MODEL QUARTERLY REPORT TO SETTLOR

Honorable Marcus M. Mandarin  
Chairman, Regulatory Commission  
Washington, DC 20415

Re: Qualified Blind Trust  
of March 20, 1996

Dear Mr. Mandarin:

Pursuant to Paragraph (A) of Article SIXTH of your Qualified Blind Trust, this is to inform you that as of December 31, 1997, the aggregate market value of the assets representing your interest in the Trust was \$1,894,532.00.

Sincerely,

Metropolis Trust Company  
by:

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Trust Officer

cc: Director, Office of Government Ethics  
Suite 500  
1201 New York Avenue, NW.  
Washington, DC 20005-3917

January 15, 1998

MODEL REPORT OF ASSET SOLD OR VALUE LESS THAN \$1,000

Honorable Marcus M. Mandarin  
Chairman, Regulatory Commission  
Washington, DC 20415

Re: Qualified Blind Trust  
of March 20, 1996

Dear Mr. Mandarin:

Pursuant to Article Fourth of your Qualified Blind Trust, this is to inform you that as of December 31, 1997, \_\_\_\_\_ has been completely disposed of or has a value of less than \$1,000.

Sincerely,

Metropolis Trust Company  
by:

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Trust Officer

cc: Director, Office of Government Ethics  
Suite 500  
1201 New York Avenue, NW.  
Washington, DC 20005-3917

January 15, 1998

MODEL QUARTERLY REPORT TO SETTLOR

Honorable Marcus M. Mandarin  
Chairman, Regulatory Commission  
Washington, DC 20415

Re: Qualified Diversified  
Trust of March 20, 1996

Dear Mr. Mandarin:

Pursuant to Paragraph (A) of Article SIXTH of your Qualified Diversified Trust, this is to inform you that as of December 31, 1997, the aggregate market value of the assets representing your interest in the Trust was \$1,894,532.00.

Sincerely,

Metropolis Trust Company  
by:

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Trust Officer

cc: Director, Office of Government Ethics  
Suite 500  
1201 New York Avenue, NW.  
Washington, DC 20005-3917

January 15, 1998

MODEL ANNUAL REPORT TO SETTLOR

Honorable Marcus M. Mandarin  
Chairman, Regulatory Commission  
Washington, DC 20415

Re: Qualified Blind Trust  
of March 20, 1996

Dear Mr. Mandarin:

Pursuant to Paragraph (B) of Article SIXTH of your Qualified Blind Trust, your K-1 for the Trust with respect to the calendar year 1997 is hereby transmitted to you.

Sincerely,

Metropolis Trust Company  
by:

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Trust Officer

Enclosure

cc (with enclosure):  
Director, Office of Government Ethics  
Suite 500  
1201 New York Avenue, NW.  
Washington, DC 20005-3917

January 15, 1998

MODEL ANNUAL REPORT TO SETTLOR

Honorable Marcus M. Mandarin  
Chairman, Regulatory Commission  
Washington, DC 20415

Re: Qualified Diversified  
Trust of March 20, 1996

Dear Mr. Mandarin:

Pursuant to Paragraph (B) of Article SIXTH of your Qualified Diversified Trust, this is to inform you that for the calendar year 1997, \$46,589.54 was paid to you in respect of such Trust (or applied for your benefit therefrom).

Sincerely,

Metropolis Trust Company  
by:

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Trust Officer

Enclosure

cc: Director, Office of Government Ethics  
Suite 500  
1201 New York Avenue, NW.  
Washington, DC 20005-3917

### **Privacy Act Statement**

Section 102(f) of the Ethics in Government Act of 1978 as amended (the "Ethics Act"), 5 U.S.C. Appendix, § 102(f), and subpart D of 5 CFR part 2634 of the regulations of the Office of Government Ethics (OGE) require the reporting of this information for the administration of qualified trusts under the Ethics Act. The primary use of the information on the trust instrument prepared based in part upon this model draft document is for review by Government officials of OGE and the agency of the Government employee for whom the trust is being established to determine compliance with applicable Federal laws and regulations as regards qualified trusts. Additional disclosures of the information in the trust document itself may be made: (1) to a Federal, State or local law enforcement agency if the disclosing agency becomes aware of a violation or potential violation of law or regulation; (2) to a court or party in a court or Federal administrative proceeding if the Government is a party or in order to comply with a judge-issued subpoena; (3) to a source when necessary to obtain information relevant to a conflict of interest issue; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; and (6) in response to a discovery request or for the appearance of a witness in a pending judicial or administrative proceeding, if the information is relevant to the subject matter. Knowing or willful falsification of information on the trust document prepared from this model draft or failure to file or report information required to be reported under title I of the Ethics Act and 5 CFR part 2634 of the OGE regulations may lead to disqualification as a trustee or other fiduciary as well as possible disqualification of the underlying trust itself. Knowing and willful falsification of information required under the Ethics Act and the regulations may also subject you to criminal prosecution.

### **Public Burden Information and Paperwork Reduction Act Statement**

This collection of information is estimated to take an average of 20 minutes per communication letter, given the estimated amount of time deemed necessary to prepare a communication. You can send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Deputy Director for Office of Administration and Information Management, U.S. Office of Government Ethics, Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917. Do not send your completed communication letter to this address; rather, see the remainder of the instructions to this model set of drafts.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0007, is displayed here and in the upper left-hand corner of the first page of this OGE model qualified trust draft document).