

## Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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**Goldsmith Romero, Christy Lynne**

Special Inspector General, Department of the Treasury

Report Year: 2017

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

**/s/ Goldsmith Romero, Christy Lynne [electronically signed on 06/16/2017 by Goldsmith Romero, Christy Lynne in Integrity.gov] - Filer received a 45 day filing extension.**

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

**/s/ Horton, Elizabeth A, Certifying Official [electronically signed on 08/25/2017 by Horton, Elizabeth A in Integrity.gov]**

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Other review conducted by

**/s/ Bungard, Brandon C, Ethics Official [electronically signed on 08/14/2017 by Bungard, Brandon C in Integrity.gov]**

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U.S. Office of Government Ethics Certification

**/s/ Skalla, Daniel L, Certifying Official [electronically signed on 09/19/2017 by Skalla, Daniel L in Integrity.gov]**

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Data Revised 08/15/2017

Data Revised 08/14/2017

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## 1. Filer's Positions Held Outside United States Government

None

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## 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	401K Jenner & Block--Fidelity Growth Company, Class K	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	401k Jenner & Block--Fidelity Low Priced Stock Fund, Class K	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	401K Jenner & Block--JP Morgan Midcap Value Fund, Class L	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	401K Jenner & Block--American Funds EuroPacific Growth Fund, Class R-6	Yes	\$1,001 - \$15,000		None (or less than \$201)

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## 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	401K Jenner & Block	Chicago, Illinois	Fidelity 401K defined contribution plan from former employer who no longer contributes to my investments since 1999.	9/1997

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## 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

(N/A) - Not required for this type of report

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## 5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Altria Group Inc. in DA Davidson Account	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2	Apple, Inc. in DA Davidson IRA BDA	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
3	Corning Inc. in DA Davidson Account	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
4	Emerson Electric Company in DA Davidson IRA BDA	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5	Intel Corp. in DA Davidson IRA BDA	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6	Reynolds American, Inc. in DA Davidson Account	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7	Exxon Mobil Corp. in DA Davidson IRA BDA	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8	Nestle S.A. SPNSD ADR REPSTING REG SHS in DA Davidson IRA BDA	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9	Penske Automotive Group Inc. in DA Davidson IRA BDA	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10	Pfizer Inc. in DA Davidson IRA BDA	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11	Royal Dutch Shell PLC Sponsored ADR REPSTG B Shares in DA Davidson IRA BDA	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
12	Sanofi SPON ADR in DA Davidson IRA BDA	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	T E Connectivity Ltd in DA Davidson IRA BDA	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
14	Valero Energy Corp. in DA Davidson IRA BDA	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
15	Welltower Inc. in DA Davidson IRA BDA	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
16	First Trust Aberdeen Global Opportunity Income Fund in DA Davidson IRA BDA	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
17	American Mutual Fund, Class A in DA Davidson IRA BDA	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
18	Investment Company of America, Class A in DA Davidson IRA BDA	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	Emerson Electric Company in DA Davidson Account	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
20	Nuveen Quality Municipal Income Fund in DA Davidson Account	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
21	Nuveen AMT Free Quality Municipal Income Fund in DA Davidson Account	Yes	\$1,001 - \$15,000		\$201 - \$1,000
22	Investment Company of America, Class A in DA Davidson Account	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
23	Apple Inc. in DA Davidson Account	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
24	AbbVie Inc.in DA Davidson IRA BDA	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	Genesis Energy Ltd Partnership in DA Davidson IRA DBA	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	Gilead Sciences Inc in DA Davidson IRA DBA	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	The Mosaic Company in DA Davidson IRA DBA	N/A	\$1,001 - \$15,000		None (or less than \$201)
28	Realty Income Corp in DA Davidson IRA DBA	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	International Paper Company in DA Davidson IRA BDA	N/A		Dividends	\$201 - \$1,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Virginia 529 Plan Virginia Education Savings Trust (college savings plan)--2015 Portfolio	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	Virginia 529 Plan Virginia Education Savings Trust (college savings plan)--2024 Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Fidelity Freedom 2030 Fund in Fidelity Roth IRA	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4	Fidelity Magellan Fund in Fidelity Roth IRA	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	Fidelity Growth Company Fund in Fidelity Roth IRA	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	Fidelity Growth & Income Portfolio in Fidelity Roth IRA	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Janus Global Research Fund Class T in Fidelity Roth IRA	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Dunkin Brands Group, Inc.in Capital One Investing acct	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9	U.S. Bank Account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
10	Apple Inc in Capital One Investing Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
11	AbbVie Inc. in Capital One Investing acct	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	Gilead Sciences Inc. in Capital One Investing acct	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	Starbucks Corp in Capital One Investing acct	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	Spectra Energy Partners LP in Capital One Investing acct	N/A	\$1,001 - \$15,000		None (or less than \$201)
15	United Parcel Service Inc in Capital One Investing acct	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	Visa Inc. com CL A in Capital One Investing acct	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Whole Foods Market Inc in Capital One Investing acct	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Vanguard 500 Index Fund, Investor Shares in Capital One Investing acct	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	Vanguard Total Stock Market Index Fund, Investor Shares in Capital One Investing acct	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	Condo (residential), Washington D.C.	N/A		Capital Gains Rent or Royalties	\$100,001 - \$1,000,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Baxalta Inc	Sale	1/27/2016	\$1,001 - \$15,000
2	Baxter Intl Inc	Sale	1/27/2016	\$1,001 - \$15,000
3	International Paper	Purchase	2/24/2016	\$15,001 - \$50,000
4	Colgate Palmolive	Sale	2/24/2016	\$15,001 - \$50,000
5	Hewlett-Packard Enterprises Co	Sale	03/16/2016	\$1,001 - \$15,000
6	Mosaic Co	Purchase	04/15/2016	\$1,001 - \$15,000
7	Weyerhaeuser Co	Sale	04/29/2016	\$1,001 - \$15,000
8	AbbVie Inc.	Purchase	04/15/2016	\$1,001 - \$15,000
9	Staples Inc	Sale	04/13/2016	\$1,001 - \$15,000
10	Diamond Offshore Drilling	Sale	04/13/2016	\$1,001 - \$15,000
11	Investment Company of America, Class A (AIVSX)	Sale	04/13/2016	\$1,001 - \$15,000
12	Intel Corp	Sale	04/13/2016	\$1,001 - \$15,000
13	Intel Corp	Sale	04/13/2016	\$1,001 - \$15,000
14	ConocoPhillips	Sale	04/13/2016	\$1,001 - \$15,000
15	Dana Incorporated (DAN)	Sale	04/13/2016	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
16	Gilead Sciences, Inc. - Common Stock		Purchase	06/24/2016	\$1,001 - \$15,000
17	HP Inc		Sale	06/24/2016	\$1,001 - \$15,000
18	Genesis Energy Ltd		Purchase	06/24/2016	\$1,001 - \$15,000
19	Weyerhaeuser Co COM		Purchase	9/30/2016	\$1,001 - \$15,000
20	Spectra Energy Partners LP COM		Purchase	9/30/2016	\$1,001 - \$15,000
21	Starbucks Corporation - Common Stock		Purchase	09/30/2016	\$1,001 - \$15,000
22	United Parcel Service Inc.		Purchase	9/30/2016	\$1,001 - \$15,000
23	Vanguard Total stock Mkt Index		Purchase	9/30/2016	\$1,001 - \$15,000
24	Visa Inc. Com CL A		Purchase	9/30/2016	\$1,001 - \$15,000
25	Whole Foods Mkt Inc		Purchase	9/30/2016	\$1,001 - \$15,000
26	AbbVie Inc.		Purchase	9/30/2016	\$1,001 - \$15,000
27	Vanguard 500 Index		Purchase	9/30/2016	\$1,001 - \$15,000
28	Apple Inc.		Purchase	9/30/2016	\$15,001 - \$50,000
29	International Paper	See Endnote	Sale	12/16/2016	\$15,001 - \$50,000
30	Gilead Sciences, Inc. - Common Stock	See Endnote	Purchase	12/12/2016	\$1,001 - \$15,000
31	Gilead Sciences, Inc. - Common Stock	See Endnote	Purchase	12/21/2016	\$1,001 - \$15,000
32	Visa Inc		Sale	1/5/2017	\$1,001 - \$15,000
33	Whole Foods Market, Inc. - Common Stock		Purchase	1/5/2017	\$15,001 - \$50,000
34	Weyerhaeuser Co	See Endnote	Sale	12/21/2016	\$1,001 - \$15,000
35	Realty Income Corp	See Endnote	Purchase	12/16/2016	\$1,001 - \$15,000
36	Condo-Washington DC		Sale	9/22/2016	\$250,001 - \$500,000
37	AbvVie Inc.		Purchase	10/06/2016	\$1,001 - \$15,000
38	Dunkin Brand Groups Inc. (common stock)		Sale	04/06/2016	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
39	Dunkin' Brands Group, Inc. - Common Stock	Sale	4/18/16	\$1,001 - \$15,000
40	American Funds Investment Company of America, Class A (AIVSX)	Purchase	12/20/2016	\$1,001 - \$15,000
41	Investment Company of America	Purchase	12/20/2016	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Wells Fargo	Mortgage on Personal Residence	\$250,001 - \$500,000	2011	3.375	15
2	Caliber Home Loans	Mortgage (investment/rental property)	\$250,001 - \$500,000	2012	3.75	30

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
7.	29	45 day extension previously granted prior to 30 day deadline - so timely - consulted with Donna Cencer. SIG Goldsmith Romero ultimately filed on 1/24/17.
7.	30	45 day extension previously granted prior to 30 day deadline - so timely - consulted with Donna Cencer. SIG Goldsmith Romero ultimately filed on 1/24/17.
7.	31	45 day extension previously granted prior to 30 day deadline - so timely - consulted with Donna Cencer. SIG Goldsmith Romero ultimately filed on 1/24/17.

PART	#	ENDNOTE
7.	34	45 day extension previously granted prior to 30 day deadline - so timely - consulted with Donna Cencer. SIG Goldsmith Romero ultimately filed on 1/24/17.
7.	35	45 day extension previously granted prior to 30 day deadline - so timely - consulted with Donna Cencer. SIG Goldsmith Romero ultimately filed on 1/24/17.

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

## 2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

## 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

## **5. Spouse's Employment Assets & Income and Retirement Accounts**

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

## **6. Other Assets and Income**

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## **7. Transactions**

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## 8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## 9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

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, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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