

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

Filer's Information

Bonnie, Robert F

Under Secretary for Natural Resources and Environment, Department of Agriculture

Date of Termination: 01/20/2017

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ Bonnie, Robert [electronically signed on 05/20/2017 by Bonnie, Robert in Integrity.gov] - Filer received a 90 day filing extension.

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/ Bender, Stuart, Certifying Official [electronically signed on 08/22/2017 by Bender, Stuart in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 10/03/2017 by Skalla, Daniel L in Integrity.gov]

Data Revised 08/03/2017

Data Revised 08/02/2017

Data Revised 08/01/2017

Data Revised 07/13/2017

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Environmental Defense Fund 403(b) Plan - Lincoln Financial				
1.1	RYTRX Royce Total Return Fund Investment Class	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
1.2	PEGZX Prudential Jennison Mid-Cap Growth Fund Class Z	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
1.3	OLGAX JP Morgan Large Cap Growth Fund A	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
1.4	VFIAX Vanguard 500 Index Fd Admiral Shs	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
1.5	Principal Lifetime Hybrid 2030	Yes	None (or less than \$1,001)		\$1,001 - \$2,500

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Environmental Defense Fund	New York, New York	403(b) retirement plan retained with my former employer. No continuing contributions.	1/1995

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

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

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(Stock) Groton Land Company, Inc. - Real Estate - Athens, GA		\$1,000,001 - \$5,000,000		None (or less than \$201)
2	(Stock) Bonnie Management Co., Inc. - Financial Services - Keswick, VA		\$15,001 - \$50,000		None (or less than \$201)
3	(J) (Cash Deposit/Savings) Middleburg Bank - Middleburg, VA - Checking		\$100,001 - \$250,000	Interest	\$201 - \$1,000
4	(Cash Deposit/Savings) PNC Bank - Washington, DC - Checking		\$1,001 - \$15,000	Interest	None (or less than \$201)
5	(IRE) Residence, Over Creek Lane, Middleburg, VA		\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000
6	(Mutual Fund) EGFIX Edgewood Growth Fund Inst	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	(Mutual Fund) HLIEX JP Morgan Equity Income Fund Select	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8	(Mutual Fund) JLPSX JP Morgan US Large Cap Core Plus Select	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
9	(Mutual Fund) NMULX Neuberger Berman Multi-Cap Opportunities Fund In	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
10	(Mutual Fund) POSKX Primecap Odyssey Stock Fund	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
11	(Mutual Fund) DODFX Dodge Cox International Stock Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	(Mutual Fund) JSOSX JP Morgan Strategic Income Opportunities Fd Selec	Yes	None (or less than \$1,001)		\$201 - \$1,000
13	(Mutual Fund) JIMIX JP Morgan Short-Intermediate Municipal Bond Fund	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
14	(Mutual Fund) BRHYX Blackrock High Yield Bond K	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
15	(Mutual Fund) JP Morgan Money Market Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
16	(Mutual Fund) JXBIX JP Morgan Access Balanced Fund - Institutional CI	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
17	(Mutual Fund) JEITX JP Morgan Global Research Enhanced Index Fund - S	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
18	(Mutual Fund) BAFJX Brown Advisory - Wmc Japan Alpha Opportunities I	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
19	(ETF) SPY SPDR S&P 500 ETF Trust	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
20	(ETF) iShares Core S&P Mid Cap ETF	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
21	(ETF) iShares MSCI EAFE Index	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
22	(ETF) Vanguard FTSE Europe ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000
23	(Other) Blake Land LLC - Undeveloped Land Hampton Cty, SC		\$250,001 - \$500,000	Rent or Royalties	None (or less than \$201)
24	(Other) Summary Holding Co. LLC - Undeveloped Land Loudon Cty, VA		\$15,001 - \$50,000	Rent or Royalties	None (or less than \$201)
25	(J) (Other) Stonelea Stable LLC - Horse Racing Goshen, KY		\$1,001 - \$15,000		None (or less than \$201)
26	(Other) Bonnie Rye Stables LLC - Horse Racing Middleburg, VA		\$15,001 - \$50,000		None (or less than \$201)
27	(S) (Other) Over Creek Stables Horse Training Middleburg, VA		\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	(S) (Other) Bon Nouvell Chasers LLC Horse Racing Middleburg, VA		\$1,001 - \$15,000		None (or less than \$201)
29	(Other) Whalerock Industries LLC		\$100,001 - \$250,000		None (or less than \$201)
30	(Trust) Citibank, NA				
30.1	Citibank Money Market Fund	Yes	\$100,001 - \$250,000		\$201 - \$1,000
30.2	VTV - Value ETF Vanguard	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
30.3	VEA-EAFE-ETF MSCI Vanguard	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
30.4	VWO-Emrg Mkts ETF MSCI Vanguard	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
30.5	SPDR Nuveen Barclays Short Term ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
30.6	VWEHX Vanguard High Yield Corporate Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
30.7	Vanguard Inter. Term Bond ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
31	(Trust) Deutsche Bank				
31.1	CMCSK Comcast Corp.		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
31.2	Deutsche Bank Money Market Fund	Yes	\$5,000,001 - \$25,000,000		\$2,501 - \$5,000
31.3	TGT Target Corp.		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
31.4	AVP Avon Products		\$1,001 - \$15,000	Dividends	None (or less than \$201)
31.5	CVS Cvs Corp.		\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
31.6	GIS General Mills		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
31.7	PEP Pepsico		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
31.8	BAC Bank of America Corp.		\$1,001 - \$15,000	Dividends	None (or less than \$201)
31.9	CB Chubb Corp.		\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
31.10	C - Citigroup Inc.		\$1,001 - \$15,000	Dividends	None (or less than \$201)
31.11	HIG Hartford Financial Services Group		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
31.12	JPM JP Morgan Chase & Co		\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31.13	ABT Abbott Laboratories		\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31.14	AMGN Amgen Inc.		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
31.15	CAH Cardinal Health		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
31.16	JNJ Johnson & Johnson		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
31.17	MDT Medtronic		\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31.18	ZMH Zimmer Holdings		\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31.19	FDX FedEx Corp		\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31.20	GD General Dynamics Corp.		\$50,001 - \$100,000	Dividends	\$201 - \$1,000
31.21	RPXC Rpx Corporation		\$250,001 - \$500,000	Dividends	None (or less than \$201)
31.22	UTX United Technologies Corp.		\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
31.23	ADP Automatic Data Processing		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
31.24	BR Broadridge Financial Solutions LLC		\$1,001 - \$15,000	Dividends	\$201 - \$1,000
31.25	GLW Corning Inc.		\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31.26	SYMC Symantec Corp.		\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
31.27	TXN Texas Instruments Inc.		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
31.28	PPG Ppg Industries		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
31.29	EFA MSCI Eafe	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
31.30	IWM Russell 2000 ETF	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
31.31	IWR Russell Midcap ETF	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
31.32	VWO MSCI Emerging Markets	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
31.33	SPY S&P 500 Trust	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
31.34	TIP Barclays Tips Bond Fund	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
31.35	VIPSX Vanguard Inflation Protected Securities Fund	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
31.36	DJP DJ-UBS Commodity Index Tr Etn	Yes	\$100,001 - \$250,000		None (or less than \$201)
31.37	FFRHX Fidelity Floating Rate High Income	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
31.38	ABBV Abbvie Inc. Common Stock		\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31.39	CDK Cdk Global Inc.		\$15,001 - \$50,000	Dividends	None (or less than \$201)
31.40	VGENX Vanguard Special Portfolios Energy Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32	(Trust) Lazard Capital Markets LLC New York, NY				
32.1	IJR S&P Smallcap 600	Yes	\$50,001 - \$100,000		\$201 - \$1,000
32.2	IJH S&P Midcap 400	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
32.3	IVV S&P 500	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
32.4	SHM Barclays S/T Muni Bond	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
32.5	VGK MSCI European	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
32.6	LCAIX Lazard Capital Allocator Srs Opportunistic Strat	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
32.7	JP Morgan Tax Free Money Market Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
32.8	EEMV Emrg Mkts Min Vol Idx MSCI iShares	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
32.9	IPAC iShares Core S&P MSCI Pacific ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
32.10	RPG Rydex ETF Tr. Guggenheim S&P	Yes	\$15,001 - \$50,000		\$201 - \$1,000
32.11	EEM iShares MSCI Emerging Markets ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
32.12	MUB iShares S&P National AMT-Free Muni ETF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
33	(ETF) DBEF Deutsche X-Trackers MSCI EAF	Yes	None (or less than \$1,001)		\$201 - \$1,000
34	(Mutual Fund) JMGIX JP Morgan Managed Income Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
35	(Mutual Fund) JITIX JP Morgan Interm. Tax Free Bond Fund	Yes	None (or less than \$1,001)		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
36	(Mutual Fund) PRSMX T Rowe Price Summ Municipal Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
37	(Mutual Fund) DBLTX DoubleLine Total Return Bond Fund Class I	Yes	\$50,001 - \$100,000		None (or less than \$201)
38	(Mutual Fund) APCTX AMG Managers Pictet International Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
39	(Mutual Fund) VFIDX Vanguard Intermediate Term Investment Grade Fd	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
40	(Mutual Fund) JIPIX John Hancock Funds Strategic Income Opportunities Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
41	(Mutual Fund) MEDIX MFS Emerging Markets Debt Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
42	(ETF) JP Morgan EM Bond Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	(Env Def Fund 403b) RYTRX Royce Total Return Fund Investment Class	Sale	11/01/16	\$50,001 - \$100,000
2	(Env Def Fund 403b) PEGZX Prudential Jennison Mid-Cap Growth Fund Class Z	Sale	11/01/2016	\$50,001 - \$100,000
3	(Env Def Fund 403b) OLGAX JP Morgan Large Cap Growth Fund A	Sale	11/01/16	\$100,001 - \$250,000
4	(Env Def Fund 403b) VFIAX Vanguard 500 Index Fd Admiral Shs	Sale	11/01/16	\$50,001 - \$100,000
5	(Env Def Fund 403b) Principal Lifetime Hybrid 2030	Purchase	11/01/16	\$250,001 - \$500,000
6	(Env Def Fund 403b) Principal Lifetime Hybrid 2030	Sale	12/27/16	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	(Env Def Fund 403b) VFIAX Vanguard 500 Index Fd Admiral Shs	Purchase	12/27/16	\$250,001 - \$500,000
8	(Mutual Fund) JMGIX JP Morgan Managed Income Fund	Purchase	Periodically	\$1,001 - \$15,000
9	(Mutual Fund) JITIX JP Morgan Interm. Tax Free Bond Fund	Sale	12/06/16	\$50,001 - \$100,000
10	(Mutual Fund) JSOSX JP Morgan Strategic Income Opportunities Fd Selec	Sale	03/04/16	\$100,001 - \$250,000
11	(Mutual Fund) JIMIX JP Morgan Short-Intermediate Municipal Bond Fund	Sale	12/06/16	\$100,001 - \$250,000
12	(Mutual Fund) BRHYX Blackrock High Yield Bond K	Sale	06/16/16	\$1,001 - \$15,000
13	(Mutual Fund) JEITX JP Morgan Global Research Enhanced Index Fund - S	Sale	06/16/16	\$100,001 - \$250,000
14	(ETF) Vanguard FTSE Europe ETF	Sale	Periodically	\$15,001 - \$50,000
15	(ETF) DBEF Deutsche X-Trackers MSCI EAF	Sale	09/16/16	\$15,001 - \$50,000
16	(ETF) iShares MSCI EAFE Index	Purchase	Periodically	\$100,001 - \$250,000
17	(Mutual Fund) JXBIX JP Morgan Access Balanced Fund - Institutional CI	Purchase	Periodically	\$50,001 - \$100,000
18	(Mutual Fund) DODFX Dodge Cox International Stock Fund	Purchase	Periodically	\$15,001 - \$50,000
19	(Mutual Fund) JLPSX JP Morgan US Large Cap Core Plus Select	Sale	01/05/17	\$15,001 - \$50,000
20	(Mutual Fund) POSKX Primecap Odyssey Stock Fund	Sale	Periodically	\$50,001 - \$100,000
21	(Mutual Fund) JXBIX JP Morgan Access Balanced Fund - Institutional CI	Sale	Periodically	\$250,001 - \$500,000
22	(Mutual Fund) APCTX AMG Managers Pictet International Fund	Purchase	01/05/17	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
23	(Mutual Fund) VFIDX Vanguard Intermediate Term Investment Grade Fd	Purchase	01/05/17	\$15,001 - \$50,000
24	(ETF) JP Morgan EM Bond Fund	Purchase	07/13/16	\$15,001 - \$50,000
25	(ETF) JP Morgan EM Bond Fund	Sale	12/06/16	\$15,001 - \$50,000
26	(Mutual Fund) MEDIX MFS Emerging Markets Fund	Purchase	12/06/16	\$15,001 - \$50,000
27	(Mutual Fund) DBLTX DoubleLine Total Return Bond Fund Class I	Purchase	12/06/16	\$50,001 - \$100,000
28	(Mutual Fund) PRSMX T Rowe Price Summ Municipal Fund	Purchase	12/06/16	\$100,001 - \$250,000
29	(Mutual Fund) BRHYX Blackrock High Yield Bond K	Purchase	03/03/16	\$15,001 - \$50,000
30	(Mutual Fund) JIPIX John Hancock Funds Strategic Income Opportunities Fund	Purchase	06/16/16	\$15,001 - \$50,000
31	(Mutual Fund) BAFJX Brown Advisory - Wmc Japan Alpha Opportunities	Purchase	11/16/2016	\$15,001 - \$50,000
32	(Mutual Fund) BAFJX Brown Advisory - Wmc Japan Alpha Opportunities	Sale	10/06/16	\$15,001 - \$50,000
33	(ETF) iShares Core S&P Mid-Cap ETF	Sale	Periodically	\$100,001 - \$250,000
34	(ETF) iShares MSCI Japan	Purchase	10/06/16	\$15,001 - \$50,000
35	(ETF) iShares MSCI Japan	Sale	11/16/16	\$15,001 - \$50,000
36	(Mutual Fund) JLPSX JP Morgan US Large Cap Core Plus Select	Sale	06/16/16	\$1,001 - \$15,000
37	(Mutual Fund) APCTX AMG Managers Pictet International Fund	Purchase	06/16/16	\$15,001 - \$50,000
38	(Mutual Fund) NMULX Neuberger Berman Multi-Cap Opportunities Fund In	Sale	06/16/16	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
39	(Mutual Fund) JMGIX JP Morgan Managed Income Fund	Sale	06/10/16	\$15,001 - \$50,000
40	(Mutual Fund) JITIX JP Morgan Interm. Tax Free Bond Fund	Purchase	Periodically	\$50,001 - \$100,000
41	(DB Trust) FFRHX Fidelity Floating Rate High Income	Purchase	Periodically	\$15,001 - \$50,000
42	(DB Trust) VIPSX Vanguard Inflation Protected Securities Fund	Purchase	Periodically	\$15,001 - \$50,000
43	(DB Trust) VGENX Vanguard Special Portfolios Energy Fund	Purchase	12/27/16	\$1,001 - \$15,000
44	(Citibank Trust) Vanguard High Yield Corp. Fund	Purchase	01/20/16	\$15,001 - \$50,000
45	(Citibank Trust) Vanguard High Yield Corp. Fund	Sale	05/26/16	\$1,001 - \$15,000
46	(Citibank Trust) VEA-EAFE-ETF MSCI Vanguard	Purchase	Periodically	\$500,001 - \$1,000,000
47	(Citibank Trust) Vanguard Inter. Term Bond ETF	Sale	05/26/16	\$15,001 - \$50,000
48	(Citibank Trust) VTV - Value ETF Vanguard	Sale	05/26/16	\$500,001 - \$1,000,000
49	(Citibank Trust) VWO-Emrg Mkts ETF MSCI Vanguard	Purchase	05/26/16	\$15,001 - \$50,000
50	(Citibank Trust) SPDR Nuveen Barclays Short Term ETF	Sale	05/26/16	\$15,001 - \$50,000
51	(Lazard Trust) IVV S&P 500	Sale	Periodically	\$15,001 - \$50,000
52	(Lazard Trust) IVV S&P 500	Purchase	Periodically	\$50,001 - \$100,000
53	(Lazard Trust) VGK MSCI European	Purchase	04/18/16	\$1,001 - \$15,000
54	(Lazard Trust) VGK MSCI European	Sale	07/27/16	\$1,001 - \$15,000
55	(Lazard Trust) MUB iShares S&P National AMT-Free Muni ETF	Purchase	01/06/16	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
56	(Lazard Trust) MUB iShares S&P National AMT-Free Muni ETF	Purchase	04/18/16	\$250,001 - \$500,000
57	(Lazard Trust) SHM Barclays S/T Muni Bond	Sale	Periodically	\$250,001 - \$500,000
58	(Lazard Trust) EEMV Emrg Mkts Min Vol Idx MSCI iShares	Sale	01/06/16	\$15,001 - \$50,000
59	(Lazard Trust) IJR S&P Smallcap 600	Sale	01/06/16	\$15,001 - \$50,000
60	(Lazard Trust) EEMV Emrg Mkts Min Vol Idx MSCI iShares	Sale	04/18/16	\$15,001 - \$50,000
61	(Lazard Trust) IJR S&P Smallcap 600	Purchase	04/18/16	\$1,001 - \$15,000
62	(Lazard Trust) EEM iShares MSCI Emerging Markets ETF	Purchase	Periodically	\$50,001 - \$100,000
63	(Lazard Trust) IPAC iShares Core S&P MSCI Pacific ETF	Sale	Periodically	\$15,001 - \$50,000
64	(Lazard Trust) IPAC iShares Core S&P MSCI Pacific ETF	Purchase	04/18/16	\$1,001 - \$15,000
65	(Lazard Trust) LCAIX Lazard Capital Allocator Srs Opportunistic Strat	Sale	04/18/16	\$50,001 - \$100,000
66	(Lazard Trust) RPG Rydex ETF Tr. Guggenheim S&P	Sale	01/06/16	\$15,001 - \$50,000
67	(Lazard Trust) IJH S&P Midcap 400	Sale	Periodically	\$15,001 - \$50,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Groton Land Company Inc., Athens, GA	Mortgage (investment/rental property)	\$500,001 - \$1,000,000	2010	5.0	15 years

9. Gifts and Travel Reimbursements

None

Endnotes

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.

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