

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

---

Parker, Pamela

Chief Counsel, Department of Health & Human Services

Report Year: 2019

---

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/ Parker, Pamela [electronically signed on 04/10/2019 by Parker, Pamela in Integrity.gov]

---

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/ Hall, Randall, Certifying Official [electronically signed on 04/26/2019 by Hall, Randall in Integrity.gov]

---

Other review conducted by

/s/ Lee, Steven, Ethics Official [electronically signed on 04/19/2019 by Lee, Steven in Integrity.gov]

---

U.S. Office of Government Ethics Certification

---

Data Revised 04/19/2019

---

## 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	Honeywell International	N/A	\$1,001 - \$15,000		None (or less than \$201)

---

## 3. Filer's Employment Agreements and Arrangements

None

---

## 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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Sunstream Corp (mechanical boat lifts)	N/A		salary	
2	AllianceBernstein Growth Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	AllianceBernstein Global Thematic Growth Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

---

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Cascade Federal Credit Union (Cash Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	(AXA) Retirement Account Strategic Asset Management II	No			
5.1	AADR Advisorshares Dorsey Wright ADR ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	HFXIX Catalyst Hedged Futures Strategy CL I	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	MBXIX Catalyst Millburn Hedge Strategy CL I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.4	FTXO First Trust NASDAQ Bank ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	First Trust NASDAQ ABA Community Bank Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	FEMS First Trust Emerging Markets SC Alphadex ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.7	FVD First Trust Value Line Dividend Index ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.8	PCY Invesco Emerging Market Sovereign Debt ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.9	PYZ Invesco DWA Basic Materials Momentum ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.10	QQQ Invesco QQQ ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	iShares MSCI USA Min Volatility	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.12	iShares S&P 500 Index	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.13	iShares S&P MidCap 400 Growth Index	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.14	SPDR S&P 600 Small Cap Growth ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.15	VHT Vanguard Health Care ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.16	VBR Vanguard Small Cap Value ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.17	DWM Wisdomtree Intl Equity Fund ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.18	DON Wisdomtree U S Mid Cap Dividend ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.19	USCI US Commodity Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Charles Schwab SIMPLE IRA	No			
6.1	Charles Schwab US MC ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	Schwab Fundamental Intl Large Com ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.3	Schwab US Small Cap ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.4	DFA US Core EQty 1 Port Instl	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	DFA US Large Cap Value III Port Inst	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6.6	First Eagle Global Fund CL I	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.7	Schwab S&P 500 Index	Yes	\$15,001 - \$50,000		\$201 - \$1,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Fidelity Advisor 529 Plan Portfolio 2022	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Fidelity Advisor 529 Plan Portfolio 2022	Yes	\$15,001 - \$50,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Fidelity VIP Contrafund	Sale	09/25/2018	\$1,001 - \$15,000
2	Calvert Inv Grade Bond Index	Sale	09/25/2018	\$1,001 - \$15,000
3	Franklin Small Cap Value 2	Sale	09/25/2018	\$1,001 - \$15,000
4	Franklin US Gov Sec 2	Sale	09/25/2018	\$1,001 - \$15,000
5	JP Morgan Mid Cap Value	Sale	09/25/2018	\$1,001 - \$15,000
6	Invesco VI Int Growth II	Sale	09/25/2018	\$15,001 - \$50,000
7	Pioneer Equity Income II	Sale	09/25/2018	\$1,001 - \$15,000
8	PIMCO Commodity Real Ret Strat Admin	Sale	09/25/2018	\$1,001 - \$15,000
9	Pioneer Strategic Income II	Sale	09/25/2018	\$1,001 - \$15,000
10	Pioneer Real Estate Shares II	Sale	09/25/2018	\$1,001 - \$15,000
11	Templeton Global Bond 2	Sale	09/25/2018	\$1,001 - \$15,000
12	Templeton Dev Markets 2	Sale	09/25/2018	\$1,001 - \$15,000
13	Schwab US Mid-Cap ETF	Purchase	10/09/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
14	Schwab Fundamental International Large Company Index ETF	Purchase	10/09/2018	\$1,001 - \$15,000
15	Schwab US Small Cap ETF	Purchase	10/09/2018	\$1,001 - \$15,000
16	DFA US Core Equity 1 Portfolio Institutional Class	Purchase	10/05/2018	\$1,001 - \$15,000
17	DFA Large Cap Value III Portfolio	Purchase	10/05/2018	\$15,001 - \$50,000
18	First Eagle Global Fund CL I	Purchase	10/05/2018	\$15,001 - \$50,000
19	Schwab S&P Index Fund	Purchase	10/05/2018	\$15,001 - \$50,000
20	Franklin Strat Income VIP	Sale	4/10/18	\$1,001 - \$15,000
21	Templeton Global Bond VIP	Sale	4/10/18	\$1,001 - \$15,000
22	EQ/BlackRock Basic Value Eq	Sale	4/10/18	\$15,001 - \$50,000
23	1290 VT GAMCO Sm Co Value	Sale	4/10/18	\$15,001 - \$50,000
24	Ivy VIP Mid Cap Growth	Sale	4/10/18	\$15,001 - \$50,000
25	Invesco V.I. International Growth	Sale	4/10/18	\$15,001 - \$50,000
26	Lazard Retirement Emerg Mkt Eq Port	Sale	4/10/18	\$15,001 - \$50,000
27	MFS International Value Port	Sale	4/10/18	\$1,001 - \$15,000
28	Invesco V.I. Global Real Estate Fund	Sale	4/10/18	\$1,001 - \$15,000
29	1290 VT GAMCO Mergers and Acquisitions	Sale	4/10/18	\$1,001 - \$15,000
30	PIMCO VIT Comm RealReturn Strat Port	Sale	4/10/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	AXA/ClearBridge Large Cap Growth	Sale	4/10/18	\$15,001 - \$50,000
32	AADR Avisorshares Dorsey Write ADR ETF	Purchase	4/16/18	\$15,001 - \$50,000
33	FEMS First Trust Emerging Markets SC Alphadex ETF	Purchase	4/16/18	\$15,001 - \$50,000
34	First Trust NASDAQ ABA Community Bank Index Fund	Purchase	4/16/18	\$1,001 - \$15,000
35	FTXO First Trust NASDAQ Bank ETF	Purchase	4/16/18	\$1,001 - \$15,000
36	FVD First Trust Value Line Dividend Index ETF	Purchase	4/16/18	\$15,001 - \$50,000
37	iShares MSCI USA Min Volatility	Purchase	4/16/18	\$1,001 - \$15,000
38	iShares S&P MidCap 400 Growth Index	Purchase	4/16/18	\$1,001 - \$15,000
39	iShares S&P 500 Index	Purchase	4/16/18	\$15,001 - \$50,000
40	HFXIX Catalyst Hedged Futures Strategy CL I	Purchase	4/16/18	\$1,001 - \$15,000
41	MBXIX Catalyst Millburn Hedge Strategy CL I	Purchase	4/16/18	\$1,001 - \$15,000
42	PYZ Powershares DWA Basic Materials Momentum ETF	Purchase	4/16/18	\$1,001 - \$15,000
43	QQQ Powershares QQQ ETF	Purchase	4/16/18	\$1,001 - \$15,000
44	PCY Powershares Emerging Markets Sovereign Debt ETF	Purchase	4/16/18	\$1,001 - \$15,000
45	SPDR S&P 600 Small Cap Growth ETF	Purchase	4/16/18	\$1,001 - \$15,000
46	USCI United States Commodity Index Fund	Purchase	4/16/18	\$1,001 - \$15,000
47	VHT Vanguard Health Care ETF	Purchase	4/16/18	\$1,001 - \$15,000
48	VBR Vanguard Small Cap Value ETF	Purchase	4/16/18	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
49	DON Wisdomtree US Mid Cap Dividend ETF	Purchase	4/16/18	\$1,001 - \$15,000
50	DWM Wisdomtree Intl Equity Fund ETF	Purchase	4/16/18	\$15,001 - \$50,000

## 8. Liabilities

None

---

## 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received 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 in income was received). 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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 ten 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).

---