

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

### Filer's Information

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**Workman, Thomas Eldon**

Member, Financial Stability Oversight Council, Department of the Treasury

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- **Committee on Banking, Housing, and Urban Affairs**
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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/ Workman, Thomas Eldon [electronically signed on 08/24/2017 by Workman, Thomas Eldon in Integrity.gov]**

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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 12/06/2017 by Horton, Elizabeth A in Integrity.gov]**

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Other review conducted by

**/s/ Riesen, Peter, Ethics Official [electronically signed on 12/06/2017 by Riesen, Peter in Integrity.gov]**

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U.S. Office of Government Ethics Certification

**/s/ Apol, David, Certifying Official [electronically signed on 12/07/2017 by Apol, David in Integrity.gov]**

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

| # | ORGANIZATION NAME                        |             | CITY, STATE            | ORGANIZATION TYPE | POSITION HELD   | FROM    | TO      |
|---|--|-------------|------------------------|-------------------|-----------------|---------|---------|
| 1 | Life Insurance Council of New York, Inc. | See Endnote | Albany, New York       | Non-Profit        | President & CEO | 9/1999  | 3/2016  |
| 2 | Ohio Farmers Insurance Company           | See Endnote | Westfield Center, Ohio | Corporation       | Director        | 12/1993 | Present |
| 3 | Insurance Federation of New York, Inc.   |             | Mt. Vernon, New York   | Non-Profit        | Director        | 6/2016  | Present |
| 4 | Revocable Trust #1                       |             | Columbus, Ohio         | Trust             | Trustee         | 7/2004  | Present |

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

| #   | DESCRIPTION   | EIF | VALUE                 | INCOME TYPE    | INCOME AMOUNT             |
|-----|---|-----|-----------------------|----------------|---------------------------|
| 1   | Life Insurance Council of New York, Inc.            |     |                       | Salary & Bonus | \$560,878                 |
| 2   | Life Insurance Council of New York, Inc. 457B Plan: |     |                       |                |                           |
| 2.1 | Mutual of America Interest Accumulation Account     | N/A | \$250,001 - \$500,000 | Interest       | \$2,501 - \$5,000         |
| 2.2 | Distribution  | N/A |                       | Cash Payment   | \$60,888                  |
| 3   | SEP-IRA:  |     |                       |                |                           |
| 3.1 | Schwab Adv. Cash Reserve (SWZXX)                    | Yes | \$15,001 - \$50,000   |                | None (or less than \$201) |
| 3.2 | Vanguard Dividend Appreciation (VIG)                | Yes | \$50,001 - \$100,000  |                | \$1,001 - \$2,500         |
| 4   | Roth IRA:   |     |                       |                |                           |
| 4.1 | Absolute Strategies Institutional (ASFIX)           | Yes | \$100,001 - \$250,000 |                | \$5,001 - \$15,000        |

| #      | DESCRIPTION   | EIF         | VALUE                 | INCOME TYPE        | INCOME AMOUNT             |
|--------|---|-------------|-----------------------|--------------------|---------------------------|
| 4.2    | AQR Diversified Arbitrage Institutional (ADAIX)       | Yes         | \$100,001 - \$250,000 |                    | \$5,001 - \$15,000        |
| 4.3    | BlackRock Strategic Income Opps Institutional (BSIIX) | Yes         | \$100,001 - \$250,000 |                    | \$5,001 - \$15,000        |
| 4.4    | DFA US Large Cap Value Institutional (DFLVX)          | Yes         | \$50,001 - \$100,000  |                    | \$5,001 - \$15,000        |
| 4.5    | Dodge & Cox stock fund (DODGX)                        | Yes         | \$1,001 - \$15,000    |                    | None (or less than \$201) |
| 4.6    | Harbor Capital Appreciation Institutional (HACAX)     | Yes         | \$100,001 - \$250,000 |                    | \$5,001 - \$15,000        |
| 4.7    | Harbor International Fund (HAINX)                     | Yes         | \$1,001 - \$15,000    |                    | None (or less than \$201) |
| 4.8    | Hussman Strategic Growth (HSGFX)                      | Yes         | \$15,001 - \$50,000   |                    | None (or less than \$201) |
| 4.9    | IVA International Institutional (IVIQX)               | Yes         | \$100,001 - \$250,000 |                    | \$1,001 - \$2,500         |
| 4.10   | Matthews Pacific Tiger Institutional (MIPTX)          | Yes         | \$100,001 - \$250,000 |                    | \$2,501 - \$5,000         |
| 4.11   | Meridian Growth Fund Legacy Class (MERDX)             | Yes         | \$50,001 - \$100,000  |                    | \$201 - \$1,000           |
| 4.12   | PIMCO Commodity Real Return Institutional (PCRIX)     | Yes         | \$15,001 - \$50,000   |                    | \$1,001 - \$2,500         |
| 4.13   | PIMCO Corp Opportunity Fund II                        | Yes         | \$50,001 - \$100,000  |                    | \$5,001 - \$15,000        |
| 4.14   | Weitz Partners III Opportunity (WPOPX)                | Yes         | \$100,001 - \$250,000 |                    | \$5,001 - \$15,000        |
| 4.15   | Stonehenge Opportunity Fund IV                        | No          |                       |                    |                           |
| 4.15.1 | U.S. bank account (cash)                              | N/A         | \$1,001 - \$15,000    |                    | None (or less than \$201) |
| 4.15.2 | WMK Equity Holdings, LLC                              | See Endnote | N/A                   | \$1,001 - \$15,000 | None (or less than \$201) |

| #      | DESCRIPTION  |             | EIF | VALUE                   | INCOME TYPE | INCOME AMOUNT             |
|--------|--|-------------|-----|-------------------------|-------------|---------------------------|
| 4.15.3 | Burke America Parts Group                            | See Endnote | N/A | \$1,001 - \$15,000      |             | None (or less than \$201) |
| 4.15.4 | Turning Point Brands, Inc (TPB)                      |             | N/A | \$1,001 - \$15,000      |             | None (or less than \$201) |
| 4.15.5 | Gamma Engineering, Inc.                              | See Endnote | N/A | \$1,001 - \$15,000      |             | None (or less than \$201) |
| 4.15.6 | Southwest Foodservice Excellence, LLC                | See Endnote | N/A | \$1,001 - \$15,000      |             | None (or less than \$201) |
| 4.15.7 | Revere Packaging Holdings, LLC                       | See Endnote | N/A | \$1,001 - \$15,000      |             | None (or less than \$201) |
| 5      | IRA:   |             |     |                         |             |                           |
| 5.1    | American Beacon Ionic Strategic Arbitrage Y (IONYX)  |             | Yes | \$100,001 - \$250,000   |             | None (or less than \$201) |
| 5.2    | AQR Diversified Arbitrage Institutional (ADAIX)      |             | Yes | \$15,001 - \$50,000     |             | \$1,001 - \$2,500         |
| 5.3    | AQR Long-Short Equity I (QLEIX)                      |             | Yes | \$100,001 - \$250,000   |             | None (or less than \$201) |
| 5.4    | BlackRock Strategic Income Opps Institutional (BSIX) |             | Yes | \$250,001 - \$500,000   |             | \$2,501 - \$5,000         |
| 5.5    | Harbor International Fund Institutional (HAINX)      |             | Yes | \$250,001 - \$500,000   |             | None (or less than \$201) |
| 5.6    | Hatteras Core Alternatives TEI Institutional Fund LP |             | Yes | \$100,001 - \$250,000   |             | \$2,501 - \$5,000         |
| 5.7    | IVA International Institutional (IVIQX)              |             | Yes | \$100,001 - \$250,000   |             | None (or less than \$201) |
| 5.8    | PIMCO Commodity Real Return Institutional (PCRIX)    |             | Yes | \$50,001 - \$100,000    |             | \$2,501 - \$5,000         |
| 5.9    | PIMCO Income Institutional (PIMIX)                   |             | Yes | \$500,001 - \$1,000,000 |             | \$15,001 - \$50,000       |
| 5.10   | Schwab US Treasury Money Fund (SWUXX)                |             | Yes | \$50,001 - \$100,000    |             | None (or less than \$201) |

| #    | DESCRIPTION  | EIF         | VALUE                       | INCOME TYPE                           | INCOME AMOUNT             |
|------|--|-------------|-----------------------------|---------------------------------------|---------------------------|
| 5.11 | Vanguard Market Neutral Inv (VMNFX)                                    | Yes         | \$100,001 - \$250,000       |                                       | None (or less than \$201) |
| 5.12 | Vanguard Short-Term Bond Index Fund Adm (VBIRX)                        | Yes         | \$100,001 - \$250,000       |                                       | \$201 - \$1,000           |
| 5.13 | TIAA Traditional   | N/A         | \$100,001 - \$250,000       | Interest                              | \$5,001 - \$15,000        |
| 6    | Life Insurance Council of New York, Inc. 401(k) plan:                  | See Endnote |                             |                                       |                           |
| 6.1  | Mutual of America Bond Fund  | Yes         | None (or less than \$1,001) |                                       | \$50,001 - \$100,000      |
| 6.2  | Mutual of America Equity Index Fund                                    | Yes         | None (or less than \$1,001) |                                       | \$15,001 - \$50,000       |
| 6.3  | Vanguard VIF International Portfolio (VVIP)                            | Yes         | None (or less than \$1,001) |                                       | \$100,001 - \$1,000,000   |
| 7    | Ohio Farmers Insurance Company, Director's Fees                        | N/A         |                             | Director's fees that are not deferred | \$148,150                 |
| 8    | Ohio Farmers Insurance Company, Deferred Compensation: Cash Receivable | N/A         | \$500,001 - \$1,000,000     | Interest                              | \$15,001 - \$50,000       |
| 9    | Ohio Farmers Insurance Company, Deferred Compensation: Received        | N/A         |                             | Cash Payment                          | \$6,554                   |

### 3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY              | CITY, STATE            | STATUS AND TERMS  | DATE    |
|---|--------------------------------|------------------------|---|---------|
| 1 | Ohio Farmers Insurance Company | Westfield Center, Ohio | Any non-deferred director fees owed at separation will be paid within one week of resignation. A portion of director fees are deferred. The balance of deferred fees at separation will be a certain, fixed sum that will earn a fixed rate of interest until paid. All fees will be paid out by the end of January 2018. | 12/1993 |

| # | EMPLOYER OR PARTY                        | CITY, STATE        | STATUS AND TERMS  | DATE   |
|---|--|--------------------|---|--------|
| 2 | Life Insurance Council of New York, Inc. | New York, New York | The fixed balance of the Life Insurance Council of New York, Inc. 457(b) plan will be paid out in equal installments over the remaining four, of the original five, payout years. | 9/1999 |

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

| # | SOURCE NAME                              | CITY, STATE      | BRIEF DESCRIPTION OF DUTIES                  |
|---|--|------------------|--|
| 1 | Life Insurance Council of New York, Inc. | Albany, New York | President and CEO                            |
| 2 | Ohio Farmers Insurance Company           | See Endnote      | Westfield Center, Ohio<br>Board of Directors |

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

| #   | DESCRIPTION   | EIF | VALUE              | INCOME TYPE | INCOME AMOUNT   |
|-----|---|-----|--------------------|-------------|-----------------|
| 1   | IRA:  |     |                    |             |                 |
| 1.1 | TIAA Traditional (TIAATRAD)   | N/A | \$1,001 - \$15,000 | Interest    | \$201 - \$1,000 |
| 2   | Spouse's artistic works (value of unsold artwork not readily ascertainable) | N/A |                    | Art Sales   |                 |

#### 6. Other Assets and Income

| #   | DESCRIPTION  | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|-----|--|-----|-----------------------|-------------|---------------------------|
| 1   | Revocable Trust #1:  |     |                       |             |                           |
| 1.1 | Berkshire Hathaway A (BRKA)                                | N/A | \$250,001 - \$500,000 |             | None (or less than \$201) |
| 1.2 | EV Tax-Managed Emerging Markets Fund Institutional (EITEX) | Yes | \$50,001 - \$100,000  |             | \$1,001 - \$2,500         |

| #      | DESCRIPTION   | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|--------|---|-----|-----------------------|-------------|---------------------------|
| 1.3    | Goldman Sachs MLP Energy Infrastructure Institutional (GMLPX) | Yes | \$100,001 - \$250,000 |             | \$5,001 - \$15,000        |
| 1.4    | Longleaf Partners Small-cap (LLSCX)                           | Yes | \$100,001 - \$250,000 |             | \$15,001 - \$50,000       |
| 1.5    | Metropolitan West High Yield Bond Institutional (MWHIX)       | Yes | \$100,001 - \$250,000 |             | \$2,501 - \$5,000         |
| 1.6    | Schwab U.S. Treasury Money Fund (SWUXX)                       | Yes | \$250,001 - \$500,000 |             | None (or less than \$201) |
| 1.7    | Schafer Cullen SMA:   |     |                       |             |                           |
| 1.7.1  | 3M Company (MMM)  | N/A | \$1,001 - \$15,000    | Dividends   | \$201 - \$1,000           |
| 1.7.2  | Altria Group (MO)   | N/A | \$1,001 - \$15,000    | Dividends   | \$201 - \$1,000           |
| 1.7.3  | AstraZeneca Plc ADR F (AZN)                                   | N/A | \$1,001 - \$15,000    | Dividends   | \$201 - \$1,000           |
| 1.7.4  | AT&T (T)  | N/A | \$1,001 - \$15,000    | Dividends   | \$201 - \$1,000           |
| 1.7.5  | BCE Inc (BCE)   | N/A | \$1,001 - \$15,000    | Dividends   | \$201 - \$1,000           |
| 1.7.6  | Boeing Co (BA)  | N/A | \$1,001 - \$15,000    | Dividends   | \$201 - \$1,000           |
| 1.7.7  | Chevron Texaco Corp (CVX)                                     | N/A | \$1,001 - \$15,000    | Dividends   | \$201 - \$1,000           |
| 1.7.8  | Chubb Corp (CB)   | N/A | \$1,001 - \$15,000    |             | None (or less than \$201) |
| 1.7.9  | Cisco Systems Inc (CSCO)                                      | N/A | \$1,001 - \$15,000    | Dividends   | \$201 - \$1,000           |
| 1.7.10 | ConocoPhillips (COP)  | N/A | \$1,001 - \$15,000    |             | None (or less than \$201) |
| 1.7.11 | Corning Inc (GLW)   | N/A | \$1,001 - \$15,000    |             | None (or less than \$201) |
| 1.7.12 | Diageo Plc New F 1 ADR Reps 4 Ord (DEO)                       | N/A | \$1,001 - \$15,000    |             | None (or less than \$201) |
| 1.7.13 | El Du Pont de Nemours (DD)                                    | N/A | \$1,001 - \$15,000    |             | None (or less than \$201) |
| 1.7.14 | Exxon Mobil Corp (XOM)  | N/A | \$1,001 - \$15,000    | Dividends   | \$201 - \$1,000           |
| 1.7.15 | General Electric Co (GE)                                      | N/A | \$1,001 - \$15,000    | Dividends   | \$201 - \$1,000           |

| #      | DESCRIPTION                       | EIF | VALUE              | INCOME TYPE | INCOME AMOUNT             |
|--------|-----------------------------------|-----|--------------------|-------------|---------------------------|
| 1.7.16 | Genuine Parts Co (GPC)            | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.17 | HCP Inc (HCP)                     | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.18 | HSBC Holdings PLC (HSBC)          | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.19 | Intel Corp (INTC)                 | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.20 | Johnson & Johnson (JNJ)           | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.21 | Johnson Controls Inc (JCI)        | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.7.22 | JP Morgan Chase & Co (JPM)        | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.23 | Kimberly-Clark (KMB)              | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.24 | Lilly Eli & Co (LLY)              | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.7.25 | Merck & Co Inc (MRK)              | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.26 | Metropolitan Life Insurance (MET) | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.27 | Microsoft Corp (MSFT)             | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.28 | NextEra Energy Inc (NEE)          | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.29 | Novartis A G Spons ADR F (NVS)    | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.7.30 | Pfizer Inc (PFE)                  | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.31 | Philip Morris International (PM)  | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.32 | Raytheon Co (RTN)                 | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.33 | Royal Dutch Shell B ADR F (RDSB)  | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.34 | Schafer Cullen SMA Cash           | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.7.35 | The Travelers Companies Inc (TRV) | N/A | \$1,001 - \$15,000 |             | None (or less than \$201) |
| 1.7.36 | Unilever N V New F (UN)           | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 1.7.37 | Wells Fargo & Co (WFC)            | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |



| #      | DESCRIPTION   | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|--------|---|-----|---------------------|-------------|---------------------------|
| 1.7.38 | Welltower Inc (HCN)   | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 1.8    | Apple Computer, Inc. (AAPL)                                   | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 1.9    | U.S. bank account (cash)                                      | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2      | Revocable Trust #2:   |     |                     |             |                           |
| 2.1    | Schwab US Treasury Money Fund (SWUXX)                         | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3      | Irrevocable Trust #1:   |     |                     |             |                           |
| 3.1    | Absolute Strategies Institutional (ASFIX)                     | Yes | \$15,001 - \$50,000 |             | \$2,501 - \$5,000         |
| 3.2    | American Beacon Ionic Strategy Arbitrage Y (IONYX)            | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 3.3    | Berkshire Hathaway B (BRKB)                                   | N/A | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 3.4    | BlackRock Strategic Income Opportunity Institutional (BSIIX)  | Yes | \$15,001 - \$50,000 |             | \$1,001 - \$2,500         |
| 3.5    | Cullen High Dividend Institutional (CHDVX)                    | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 3.6    | DFA Emerging Markets Value Institutional (DFEVX)              | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.7    | DFA US Large Cap Value Institutional (DFLVX)                  | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 3.8    | DFA US Small Cap Value Institutional (DFSVX)                  | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 3.9    | Elements Rogers International Commodity ETN (RJI)             | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.10   | Goldman Sachs MLP Energy Infrastructure Institutional (GMLPX) | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 3.11   | Harbor Capital Appreciation Institutional (HACAX)             | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |

| #    | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 3.12 | Harbor International Fund Institutional (HAINX)              | Yes | \$15,001 - \$50,000         |             | \$201 - \$1,000           |
| 3.13 | Hussman Strategic Growth (HSGFX)                             | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 3.14 | IVA International Institutional (IVIQX)                      | Yes | \$15,001 - \$50,000         |             | \$201 - \$1,000           |
| 3.15 | Matthews Pacific Tiger Inv (MAPTX)                           | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 3.16 | Meridian Growth Fund Legacy Class (MERDX)                    | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 3.17 | Metropolitan West High Yield Bond Institutional (MWHIX)      | Yes | \$1,001 - \$15,000          |             | \$201 - \$1,000           |
| 3.18 | PIMCO Income Institutional (PIMIX)                           | Yes | \$50,001 - \$100,000        |             | \$2,501 - \$5,000         |
| 3.19 | Schwab Adv Cash Reserves Fund-Premier (SWZXX)                | Yes | None (or less than \$1,001) |             | None (or less than \$201) |
| 3.20 | Schwab US LArge Cap ETF (SCHX)                               | Yes | \$1,001 - \$15,000          |             | \$201 - \$1,000           |
| 3.21 | Vanguard Intermediate-Term Tax-Exempt (VWITX)                | Yes | \$15,001 - \$50,000         |             | \$1,001 - \$2,500         |
| 3.22 | Weitz Partners III Opportunity (WPOPX)                       | Yes | \$1,001 - \$15,000          |             | \$201 - \$1,000           |
| 4    | Irrevocable Trust #2:  |     |                             |             |                           |
| 4.1  | Absolute Strategies Institutional (ASFIX)                    | Yes | \$15,001 - \$50,000         |             | \$5,001 - \$15,000        |
| 4.2  | AQR Diversified Arbitrage Institutional (ADAIX)              | Yes | \$15,001 - \$50,000         |             | \$2,501 - \$5,000         |
| 4.3  | AQR Long_short Equity I (QLEIX)                              | Yes | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 4.4  | Berkshire Hathaway B (BRKB)                                  | N/A | \$50,001 - \$100,000        |             | None (or less than \$201) |
| 4.5  | BlackRock Strategic Income Opportunity Institutional (BSIIX) | Yes | \$100,001 - \$250,000       |             | \$5,001 - \$15,000        |

| #    | DESCRIPTION   | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|-----------------------|-------------|---------------------------|
| 4.6  | Cullen High Dividend Institutional (CHDVX)                    | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 4.7  | DFA US Large Cap Value Institutional (DFLVX)                  | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 4.8  | DFA US Small Cap Value Institutional (DFSVX)                  | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 4.9  | Elements Rogers International Commodity ETN (RJI)             | N/A | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 4.10 | Goldman Sachs MLP Energy Infrastructure Institutional (GMLPX) | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 4.11 | Harbor Capital Appreciation Institutional (HACAX)             | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 4.12 | Harbor International Instl (HAINX)                            | Yes | \$50,001 - \$100,000  |             | \$1,001 - \$2,500         |
| 4.13 | Hussman Strategic Growth (HSGFX)                              | Yes | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 4.14 | IVA International Institutional (IVIQX)                       | Yes | \$50,001 - \$100,000  |             | \$201 - \$1,000           |
| 4.15 | Matthews Pacific Tiger Institutional (MIPTX)                  | Yes | \$15,001 - \$50,000   |             | \$201 - \$1,000           |
| 4.16 | Meridian Growth Fund Legacy Class (MERDX)                     | Yes | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 4.17 | Metropolitan West High Yield Bond Institutional (MWHIX)       | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 4.18 | Parametric Emerging Markets Institutional (EIEMX)             | Yes | \$15,001 - \$50,000   |             | \$201 - \$1,000           |
| 4.19 | PIMCO Income Institutional (PIMIX)                            | Yes | \$100,001 - \$250,000 |             | \$5,001 - \$15,000        |
| 4.20 | Schwab Adv Cash Reserve Fund - Premier (SWZXX)                | Yes | \$50,001 - \$100,000  |             | \$201 - \$1,000           |
| 4.21 | Schwab Fundamental International Lg Co ETF (FNDF)             | Yes | \$15,001 - \$50,000   |             | None (or less than \$201) |

| #    | DESCRIPTION  |             | EIF | VALUE                 | INCOME TYPE                        | INCOME AMOUNT             |
|------|--|-------------|-----|-----------------------|------------------------------------|---------------------------|
| 4.22 | Schwab US Large Cap ETF (SCHX)                               |             | Yes | \$15,001 - \$50,000   |                                    | \$1,001 - \$2,500         |
| 4.23 | Vanguard Intermediate-Term Tax-Exempt (VWITX)                |             | Yes | \$100,001 - \$250,000 |                                    | \$2,501 - \$5,000         |
| 4.24 | Vanguard Market Neutral Inv (VMNFX)                          |             | Yes | \$50,001 - \$100,000  |                                    | None (or less than \$201) |
| 4.25 | Vanguard Short-Term Bond Index Admiral Shares (VBIRX)        |             | Yes | \$15,001 - \$50,000   |                                    | \$201 - \$1,000           |
| 4.26 | Weitz Partners III Opportunity (WPOPX)                       |             | Yes | \$15,001 - \$50,000   |                                    | \$1,001 - \$2,500         |
| 4.27 | U.S. bank account (cash)                                     |             | N/A | \$50,001 - \$100,000  |                                    | None (or less than \$201) |
| 4.28 | Morse & Hamilton Limited Partnership                         | See Endnote | N/A | Over \$1,000,000      | Rent or Royalties<br>Capital Gains | \$15,001 - \$50,000       |
| 5    | Irrevocable Trust #3:  |             |     |                       |                                    |                           |
| 5.1  | Schwab Adv Cash Reserves Fund - Premier (SWZXX)              |             | Yes | \$50,001 - \$100,000  |                                    | \$201 - \$1,000           |
| 5.2  | American Beacon Ionic Strategic Arbitrage Y (IONYX)          |             | Yes | \$15,001 - \$50,000   |                                    | \$2,501 - \$5,000         |
| 5.3  | AQR Long Short Equity I (QLEIX)                              |             | Yes | \$15,001 - \$50,000   |                                    | None (or less than \$201) |
| 5.4  | Berkshire Hathaway B (BRKB)                                  |             | N/A | \$15,001 - \$50,000   |                                    | None (or less than \$201) |
| 5.5  | BlackRock Strategic Income Opportunity Institutional (BSIIX) |             | Yes | \$100,001 - \$250,000 |                                    | \$5,001 - \$15,000        |
| 5.6  | Cullen High Dividend Institutional (CHDVX)                   |             | Yes | \$15,001 - \$50,000   |                                    | \$1,001 - \$2,500         |
| 5.7  | DFA Emerging Markets Vlaue Institutional (DFEVX)             |             | Yes | \$1,001 - \$15,000    |                                    | \$201 - \$1,000           |
| 5.8  | DFA US Large Cap Value Institutional (DFLVX)                 |             | Yes | \$15,001 - \$50,000   |                                    | \$1,001 - \$2,500         |

| #    | DESCRIPTION   | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|-----------------------|-------------|---------------------------|
| 5.9  | DFA US Small Cap Value Institutional (DFSVX)                  | Yes | \$1,001 - \$15,000    |             | None (or less than \$201) |
| 5.10 | Elements Rogers International Commodity ETN (RJI)             | N/A | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 5.11 | Goldman Sachs MLP Energy Infrastructure Institutional (GMLPX) | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 5.12 | Harbor Capital Appreciation Institutional (HACAX)             | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 5.13 | Harbor International Instl (HAINX)                            | Yes | \$50,001 - \$100,000  |             | \$1,001 - \$2,500         |
| 5.14 | Hussman Strategic Growth (HSGFX)                              | Yes | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 5.15 | IVA International Fund (IVIQX)                                | Yes | \$50,001 - \$100,000  |             | \$201 - \$1,000           |
| 5.16 | Longleaf Partners Small Cap (LLSCX)                           | Yes | \$1,001 - \$15,000    |             | \$1,001 - \$2,500         |
| 5.17 | Matthews Pacific Tiger Institutional (MIPTX)                  | Yes | \$15,001 - \$50,000   |             | \$201 - \$1,000           |
| 5.18 | Meridian Growth Fund Legacy Class (MERDX)                     | Yes | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 5.19 | Metropolitan West High Yield Bond Institutional (MWHIX)       | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 5.20 | Parametric Emerging Markets Institutional (EIEMX)             | Yes | \$15,001 - \$50,000   |             | \$201 - \$1,000           |
| 5.21 | PIMCO Income Instl (PIMIX)                                    | Yes | \$100,001 - \$250,000 |             | \$5,001 - \$15,000        |
| 5.22 | Schwab US Treasury Money Fund (SWUXX)                         | Yes | \$1,001 - \$15,000    |             | None (or less than \$201) |
| 5.23 | Vanguard Dividend Appreciation ETF (VIG)                      | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 5.24 | Vanguard Intermediate-Term Tax-Exempt (VWITX)                 | Yes | \$100,001 - \$250,000 |             | \$2,501 - \$5,000         |

| #    | DESCRIPTION                                |             | EIF | VALUE                 | INCOME TYPE                           | INCOME AMOUNT             |
|------|--|-------------|-----|-----------------------|---------------------------------------|---------------------------|
| 5.25 | Vanguard Market Neutral Inv (VMNFX)        |             | Yes | \$50,001 - \$100,000  |                                       | None (or less than \$201) |
| 5.26 | Weitz Partners III Opportunity (WPOPX)     |             | Yes | \$15,001 - \$50,000   |                                       | \$1,001 - \$2,500         |
| 5.27 | U.S. bank account (cash)                   |             | N/A | \$50,001 - \$100,000  |                                       | None (or less than \$201) |
| 5.28 | The Vista Plaza, L.P.                      | See Endnote | N/A | \$250,001 - \$500,000 |                                       | None (or less than \$201) |
| 5.29 | The Vista at Rocky Fork, L.P.              | See Endnote | N/A | Over \$1,000,000      | Capital Gains<br>Rent or<br>Royalties | \$5,001 - \$15,000        |
| 6    | TIAA-CREF Personal Annuity Select          | See Endnote | N/A | \$100,001 - \$250,000 | Interest                              | \$5,001 - \$15,000        |
| 7    | TIAA-CREF Personal Annuity Select          | See Endnote | N/A | \$100,001 - \$250,000 | Interest                              | \$5,001 - \$15,000        |
| 8    | Mutual of America Flexible Premium Annuity | See Endnote | N/A | \$250,001 - \$500,000 | Interest                              | \$15,001 - \$50,000       |
| 9    | Israel State Bond 11/01/2018               |             | N/A | \$1,001 - \$15,000    | Interest                              | \$201 - \$1,000           |
| 10   | Israel State Bond 1/1/2019                 |             | N/A | \$1,001 - \$15,000    | Interest                              | \$201 - \$1,000           |
| 11   | Installment Note Receivable                | See Endnote | N/A | \$50,001 - \$100,000  | Interest<br>Capital Gains             | \$2,501 - \$5,000         |
| 12   | Personal Loan to friend                    | See Endnote | N/A | \$15,001 - \$50,000   |                                       | None (or less than \$201) |
| 13   | U.S. bank account #1 (cash)                |             | N/A | \$15,001 - \$50,000   |                                       | None (or less than \$201) |
| 14   | U.S. bank account #2 (cash)                |             | N/A | \$15,001 - \$50,000   |                                       | None (or less than \$201) |
| 15   | U.S. bank account #3 (cash)                |             | N/A | \$1,001 - \$15,000    |                                       | None (or less than \$201) |
| 16   | U.S. bank account #4 (cash)                |             | N/A | \$100,001 - \$250,000 | Interest                              | \$201 - \$1,000           |
| 17   | NY College Savings 529 Plan #1:            |             | No  |                       |                                       |                           |

| #    | DESCRIPTION  |             | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|--|-------------|-----|-----------------------------|-------------|---------------------------|
| 17.1 | Vanguard Total International Stock Index Fund (VTPSX)        |             | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 17.2 | Vanguard Developed Markets Index Fund (VDIPX)                |             | Yes | \$50,001 - \$100,000        |             | None (or less than \$201) |
| 17.3 | Vanguard Growth Index Fund (VIGIX)                           |             | Yes | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 17.4 | Vanguard Value Index Fund (VIVIX)                            |             | Yes | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 17.5 | Vanguard Small-Cap Index Fund (VSCPX)                        |             | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 17.6 | Vanguard Institutional Total Stock Market Index Fund (VITPX) |             | Yes | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 18   | WV College Savings Plan                                      | See Endnote | No  | None (or less than \$1,001) |             | None (or less than \$201) |
| 19   | NY College Savings 529 Plan #2:                              |             | No  |                             |             |                           |
| 19.1 | Vanguard Total International Stock Index Fund (VTPSX)        |             | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 19.2 | Vanguard Growth Index Fund (VIGIX)                           |             | Yes | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 19.3 | Vanguard Value Index Fund (VIVIX)                            |             | Yes | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 19.4 | Vanguard Developed Markets Index Fund (VDIPX)                |             | Yes | \$50,001 - \$100,000        |             | None (or less than \$201) |
| 19.5 | Vanguard Small-Cap Index Fund (VSCPX)                        |             | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 19.6 | Vanguard Institutional Total Stock Market Index Fund (VITPX) |             | Yes | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 20   | NY College Savings 529 Plan #3:                              |             | No  |                             |             |                           |
| 20.1 | Vanguard Total International Stock Index Fund (VTPSX)        |             | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 20.2 | Vanguard Growth Index Fund (VIGIX)                           |             | Yes | \$15,001 - \$50,000         |             | None (or less than \$201) |

| #    | DESCRIPTION  | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|----------------------|-------------|---------------------------|
| 20.3 | Vanguard Value Index Fund (VIVIX)                            | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 20.4 | Vanguard Developed Markets Index Fund (VDIPX)                | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 20.5 | Vanguard Small-Cap Index Fund (VSCPX)                        | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 20.6 | Vanguard Institutional Total Stock Market Index Fund (VITPX) | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 21   | NY College Savings 529 Plan #4:                              | No  |                      |             |                           |
| 21.1 | Vanguard Total International Stock Index Fund (VTPSX)        | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 21.2 | Vanguard Growth Index Fund (VIGIX)                           | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 21.3 | Vanguard Value Index Fund (VIVIX)                            | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 21.4 | Vanguard Developed Markets Index Fund (VDIPX)                | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 21.5 | Vanguard Small-Cap Index Fund (VSCPX)                        | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 21.6 | Vanguard Institutional Total Stock Market Index Fund (VITPX) | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 22   | NY College Savings 529 Plan #5:                              | No  |                      |             |                           |
| 22.1 | Vanguard Total International Stock Index Fund (VTPSX)        | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 22.2 | Vanguard Growth Index Fund (VIGIX)                           | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 22.3 | Vanguard Value Index Fund (VIVIX)                            | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 22.4 | Vanguard Developed Markets Index Fund (VDIPX)                | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 22.5 | Vanguard Small-Cap Index Fund (VSCPX)                        | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |



| #    | DESCRIPTION  | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------|-------------|---------------------------|
| 22.6 | Vanguard Institutional Total Stock Market Index Fund (VITPX) | Yes | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 23   | Northwestern Mutual, Whole Life #1                           | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000           |
| 24   | Northwestern Mutual, Whole Life #2                           | N/A | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 25   | Northwestern Mutual, Whole Life #3                           | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 26   | Northwestern Mutual, Whole Life #4                           | N/A | \$50,001 - \$100,000  | Dividends   | \$2,501 - \$5,000         |
| 27   | Northwestern Mutual, Whole Life #5                           | N/A | \$100,001 - \$250,000 | Dividends   | \$2,501 - \$5,000         |
| 28   | Irrevocable Life Insurance Trust                             |     |                       |             |                           |
| 28.1 | Northwestern Mutual, Whole Life #6                           | N/A | \$1,001 - \$15,000    | Dividends   | \$2,501 - \$5,000         |
| 28.2 | Northwestern Mutual, Whole Life #7                           | N/A | \$50,001 - \$100,000  | Dividends   | \$5,001 - \$15,000        |
| 28.3 | Northwestern Mutual, Whole Life #8                           | N/A | \$50,001 - \$100,000  | Dividends   | \$5,001 - \$15,000        |
| 29   | Joint Account:   |     |                       |             |                           |
| 29.1 | Vanguard Inflation-Protected Securities Fund Inv (VIPSX)     | Yes | \$15,001 - \$50,000   |             | \$201 - \$1,000           |
| 29.2 | Vanguard Long-Term Investment Grade Fund Inv (VWESX)         | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 29.3 | Vanguard Total Stock Market Index Fund (VTSAX)               | Yes | \$15,001 - \$50,000   |             | \$201 - \$1,000           |
| 30   | Pan American Life, Whole Life                                | N/A | \$1,001 - \$15,000    |             | None (or less than \$201) |

## 7. Transactions

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

## 8. Liabilities

| # | CREDITOR NAME                  | TYPE                           | AMOUNT                  | YEAR INCURRED | RATE  | TERM      |
|---|--------------------------------|--------------------------------|-------------------------|---------------|-------|-----------|
| 1 | Investors Bank                 | Mortgage on Personal Residence | \$500,001 - \$1,000,000 | 2011          | 5     | 30        |
| 2 | Fifth Third Bank               | Mortgage on Personal Residence | \$250,001 - \$500,000   | 2011          | 3.875 | 20        |
| 3 | Stonehenge Opportunity Fund IV | Committed Capital              | \$100,001 - \$250,000   | 2016          | N/A   | On Demand |
| 4 | PIMCO Corp Opportunity Fund II | Committed Capital              | \$100,001 - \$250,000   | 2016          | N/A   | On Demand |

## 9. Gifts and Travel Reimbursements

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

## Endnotes

| PART | #      | ENDNOTE   |
|------|--------|---|
| 1.   | 1      | The Life Insurance Council of New York, Inc., is the state trade organization representing the life insurance industry in New York State. It was headquartered in New York City during my years of service as the President & CEO. I remained with the organization in an advisory capacity through 6/2016 to assist the new President & CEO with the transition into her new role. |
| 1.   | 2      | I will conclude my service on the Board of Directors of the Ohio Farmers Insurance Company in October 2017.   |
| 2.   | 4.15.2 | Richfield, Ohio (Wheelchair Accessible Vehicle Deal and Upfitter)   |

| PART | #      | ENDNOTE  |
|------|--------|--|
| 2.   | 4.15.3 | Chicago, Illinois (Distributor of Home Repair Replacement Parts)   |
| 2.   | 4.15.5 | Mansfield, Texas (Manufacturer of Engineered Airframe and Flight Components)   |
| 2.   | 4.15.6 | Scottsdale, Arizona (Food Service Management)  |
| 2.   | 4.15.7 | Sacramento, California (Manufacturer of Food Packaging Products)   |
| 2.   | 6      | The Life Insurance Council of New York, Inc. 401(k) plan was rolled over to the IRA on 5/30/2017.                          |
| 4.   | 2      | Board Term ends October 2017.  |
| 6.   | 4.28   | Commercial Real Estate, Gahanna, Ohio  |
| 6.   | 5.28   | Commercial Real Estate, Gahanna, Ohio  |
| 6.   | 5.29   | Residential Real Estate, Gahanna, Ohio   |
| 6.   | 6      | Fixed option selected, earning the guaranteed minimum return of 3.0%   |
| 6.   | 7      | Fixed option selected, earning the guaranteed minimum return of 3.0%   |
| 6.   | 8      | 100% of the funds are invested in the "Interest Accumulation Account" with a current Effective Annual Yield of 1.65%       |
| 6.   | 11     | Fixed note receivable due from M. Nodo.  |
| 6.   | 12     | Receivable from P. Squire.   |
| 6.   | 18     | The West Virginia College Savings account was terminated on 6/8/2016 and transferred to New York College Savings accounts. |

# 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.

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