

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

## Filer's Information

---

**Ferriero, David S**

Archivist of the United States, National Archives and Records Administration

Report Year: 2018

---

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/ Ferriero, David S [electronically signed on 05/13/2018 by Ferriero, David S 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/ Runkel, Christopher M, Certifying Official [electronically signed on 06/26/2018 by Runkel, Christopher M in Integrity.gov]**

---

Other review conducted by

---

U.S. Office of Government Ethics Certification

**/s/ Skalla, Daniel L, Certifying Official [electronically signed on 07/10/2018 by Skalla, Daniel L in Integrity.gov]**

---

Data Revised 06/26/2018

---

Comments of Reviewing Officials (public annotations):

<b>PART</b>	<b>#</b>	<b>REFERENCE</b>	<b>COMMENT</b>
N/A	N/A	General	(06/26/2018, Runkel, Christopher M): Filer has been advised of several potential conflicts involving current or potential NARA vendors; and receives updated guidance on possible conflicts regularly.

---

## 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	Fidelity Government Cash Reserves Fund FDRXX	See Endnote	Yes	None (or less than \$1,001)		None (or less than \$201)
2	New York State/Local Retirement System - Defined Benefit Plan	See Endnote	N/A		Monthly pension payments.	\$5,111

---

## 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
1	New York State/Local Retirement System; State Comptroller		Albany, New York	Defined Benefit Plan. Filer began receiving pension payments of \$1,703.68/month in October 2017. Total value of Plan is not readily ascertainable.	9/2004
2	Duke University	See Endnote	Durham, North Carolina	Defined contribution plan, 403(b)	1/1996

---

## 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	Fidelity Rollover IRA - FDIC Insured Deposit at Fifth Third Bank		Yes	\$50,001 - \$100,000		None (or less than \$201)
2	TIAA-CREF Defined Contribution Plans	See Endnote	Yes	Over \$1,000,000		\$5,001 - \$15,000
2.1	TIAA Traditional		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.2	CREF Stock Fund CI R2		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2.3	CREF Money Market Fund CI R3		Yes	\$100,001 - \$250,000		None (or less than \$201)
2.4	Vanguard Institutional Target Retirement 2010 Fund Instl CI VIRTX	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
2.5	Vanguard Institutional Target Retirement 2015 Fund Inst CI VITVX		Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.6	Vanguard Institutional Target Retirement Income Fund Inst Class VITRX	See Endnote	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

## 6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Art Collection - Works on paper, oils, canvas		N/A	\$250,001 - \$500,000		None (or less than \$201)
2	Merrill Lynch Bank Deposit Program	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
3	Bank of America Preferred Deposit Account	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Archer Daniels Midland Company Stock ADM	See Endnote	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
5	AT&T Inc. Stock T	See Endnote	No	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
6	Blackstone Group L.P. Stock BX		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7	Broadcom Limited Stock AVGO	See Endnote	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8	Chevron Corporation Stock CVX		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
9	Cincinnati Bell Inc. Preferred Series B Stock CBBPRB		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10	Constellation Brands, Inc. Stock STZ	See Endnote	No	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
11	Disney Company Stock DIS		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12	DowDuPont Inc. Stock DWDP	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13	Eaton Corporation PLC Stock ETN	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
14	Energy Transfer Partners, LP Stock ETP	See Endnote	No	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
15	Honeywell International Inc. Stock HON	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16	Johnson and Johnson Services, Inc. Stock JNJ	See Endnote	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
17	Magellan Midstream Partners, L.P. Stock MMP		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
18	Motorola Solutions, Inc. Stock MSI		No	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	Nestle Stock NSRGY		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
20	Pfizer, Inc. Stock PFE		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
21	Proctor and Gamble Company Stock PG		No	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
22	Thermo Fisher Scientific Inc.		No	\$15,001 - \$50,000		None (or less than \$201)
23	UGI Corporation Stock UGI		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
24	Ventas, Inc. (REIT) Stock VTR		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
25	Verizon Communications Inc. Stock VZ	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
26	BB&T Bank Savings Accounts		No	\$1,001 - \$15,000		None (or less than \$201)
27	UnitedHealth Group Inc. Stock UNH		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
28	American Water Works Company, Inc. Stock AWK	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
29	General Motors Company Stock GM		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
30	JPMorgan Chase & Co. Stock JPM	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31	Kimberly-Clark Corporation Stock KMB	See Endnote	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
32	Lockheed Martin Corporation Stock LMT	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
33	Microsoft Corporation Stock MSFT	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
34	NextEra Energy, Inc. Stock NEE	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
35	Ollie's Bargain Outlet Holdings, Inc. Stock OLLI	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
36	The Toronto-Dominion Bank Stock TD	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
37	Visa Inc. Cl A Stock V		No	\$15,001 - \$50,000		None (or less than \$201)
38	3M Company Stock MMM		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
39	Navient Corporation Ser A Preferred Stock NAVI	See Endnote	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
40	Morgan Stanley Bonds; 1.875% Jan 05 2018	See Endnote	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
41	Citigroup Inc. Bonds; 1.8% Feb 05 2018	See Endnote	No	\$50,001 - \$100,000	Interest	\$201 - \$1,000
42	Morgan Stanley Bonds; 2.125% April 25, 2018	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
43	Berry Global Group Inc. Stock BERY	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
44	Cypress Semiconductor Corporation Stock CY	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
45	Digital Realty Trust, Inc. Stock DLR	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
46	Dow Chemical Company Stock DOW	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
47	Northrup Grumman Corporation Stock NOC	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
48	Raytheon Company Stock RTN	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
49	Royal Dutch Shell PLC Stock RDS.A	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
50	BB&T Corporation Bonds	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
51	Bear Stearns Companies, Inc. Bonds; 6.4% Oct 02 2017	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
52	Citigroup Inc. Bonds; 6.125% Nov 21 2017	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500

## 7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	SLM Corporation Preferred Shares Stock SLM	See Endnote	Exchange	01/18/2017	\$15,001 - \$50,000
2	Navient Corporation Ser A Preferred Stock NAVI	See Endnote	Exchange	01/18/2017	\$15,001 - \$50,000
3	American Water Works Company, Inc. Stock AWK	See Endnote	Sale	02/07/17	\$1,001 - \$15,000
4	WPP plc ADR Stock WWPGY	See Endnote	Purchase	02/07/17	\$1,001 - \$15,000
5	Realty Income Corporation Stock O	See Endnote	Sale	02/07/17	\$1,001 - \$15,000
6	CD - Bank of India, New York, NY REDEEMED	See Endnote		02/01/17	\$50,001 - \$100,000
7	Broadcom Limited Stock AVGO	See Endnote	Purchase	02/07/17	\$1,001 - \$15,000
8	CD - Mizrahi Tefahot Bank Ltd., Los Angeles, CA		Purchase	02/14/17	\$15,001 - \$50,000
9	CD#1 - Bank of China, New York, NY (March 2017)	See Endnote	Purchase	02/15/2017	\$50,001 - \$100,000
10	CD#2 - Bank of China, New York, NY (April 2017)	See Endnote	Purchase	02/15/17	\$50,001 - \$100,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
11	CD#3 - Bank of China, New York, NY (May 2017)	See Endnote	Purchase	02/15/17	\$50,001 - \$100,000
12	WPP plc ADR Stock WWPGY	See Endnote	Sale	03/13/17	\$1,001 - \$15,000
13	CD - Mizrahi Tefahot Bank Ltd., Los Angeles, CA - REDEEMED	See Endnote		03/14/17	\$15,001 - \$50,000
14	Broadcom Limited Stock AVGO	See Endnote	Purchase	03/13/17	\$1,001 - \$15,000
15	Raytheon Company Stock RTN	See Endnote	Purchase	03/13/17	\$1,001 - \$15,000
16	Nucor Corporation Stock NUE	See Endnote	Purchase	03/13/17	\$1,001 - \$15,000
17	CD#1 - Bank of China, New York, NY (March 2017) - REDEEMED	See Endnote		03/15/17	\$50,001 - \$100,000
18	Navient Corporation Ser A Preferred Stock NAVI - REDEEMED	See Endnote		03/15/17	\$15,001 - \$50,000
19	Nucor Corporation Stock NUE	See Endnote	Purchase	03/22/17	\$1,001 - \$15,000
20	BB&T Corporation Bonds	See Endnote	Purchase	03/22/17	\$50,001 - \$100,000
21	Ollie's Bargain Outlet Holdings, Inc. Stock OLLI	See Endnote	Purchase	03/22/17	\$1,001 - \$15,000
22	CD#2 - Bank of China, New York, NY (April 2017) - REDEEMED	See Endnote		04/17/17	\$50,001 - \$100,000
23	Energy Transfer Partners, LP Stock ETP	See Endnote	Exchange	05/01/17	\$15,001 - \$50,000
24	Verizon Communications Inc. Stock VZ	See Endnote	Sale	05/18/17	\$15,001 - \$50,000
25	CD#3 - Bank of China, New York, NY (May 2017) - REDEEMED	See Endnote		05/15/17	\$50,001 - \$100,000
26	Ollie's Bargain Outlet Holdings, Inc. Stock OLLI	See Endnote	Purchase	05/25/17	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
27	Royal Dutch Shell PLC Stock RDS.A	See Endnote	Purchase	05/25/17	\$15,001 - \$50,000
28	CD#4 - Bank of China, New York, NY (June 2017)	See Endnote	Purchase	05/30/17	\$50,001 - \$100,000
29	CD#5 - Bank of China, New York, NY (Aug. 2017)	See Endnote	Purchase	05/30/17	\$50,001 - \$100,000
30	CD#4 - Bank of China, New York, NY (June 2017) - REDEEMED	See Endnote		06/30/17	\$50,001 - \$100,000
31	Nucor Corporation Stock NUE	See Endnote	Sale	06/12/17	\$15,001 - \$50,000
32	BB&T Corporation Bonds - MATURED	See Endnote		06/30/17	\$50,001 - \$100,000
33	Broadcom Limited Stock AVGO	See Endnote	Purchase	06/12/17	\$15,001 - \$50,000
34	Ollie's Bargain Outlet Holdings, Inc. Stock OLLI	See Endnote	Purchase	06/12/17	\$15,001 - \$50,000
35	Bear Stearns Companies, Inc. Bonds; 6.4% Oct 02 2017	See Endnote	Purchase	07/19/17	\$50,001 - \$100,000
36	AT&T Inc. Stock T	See Endnote	Sale	07/19/17	\$1,001 - \$15,000
37	Ollie's Bargain Outlet Holdings, Inc. Stock OLLI	See Endnote	Purchase	07/19/17	\$1,001 - \$15,000
38	Citigroup Inc. Bonds; 6.125% Nov 21 2017	See Endnote	Purchase	07/19/17	\$50,001 - \$100,000
39	CD#5 - Bank of China, New York, NY (Aug. 2017) - REDEEMED	See Endnote		08/30/17	\$50,001 - \$100,000
40	Dow Chemical Company Stock DOW	See Endnote	Exchange	09/01/17	\$1,001 - \$15,000
41	DowDuPont Inc. Stock DWDP	See Endnote	Exchange	09/01/17	\$1,001 - \$15,000
42	Morgan Stanley Bonds; 1.875% Jan 05 2018	See Endnote	Purchase	09/06/17	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
43	Digital Realty Trust, Inc. Stock DLR	See Endnote	Purchase	09/11/17	\$15,001 - \$50,000
44	Ollie's Bargain Outlet Holdings, Inc. Stock OLLI	See Endnote	Purchase	09/11/17	\$1,001 - \$15,000
45	Kimberly-Clark Corporation Stock KMB	See Endnote	Sale	09/11/17	\$1,001 - \$15,000
46	Starbucks Corporation Stock SBUX	See Endnote	Sale	09/11/17	\$1,001 - \$15,000
47	Bear Stearns Companies, Inc. Bonds; 6.4% Oct 02 2017 - REDEEMED	See Endnote		10/02/17	\$50,001 - \$100,000
48	Citigroup Inc. Bonds; 1.8% Feb 05 2018	See Endnote	Purchase	10/30/17	\$50,001 - \$100,000
49	AT&T Inc. Stock T	See Endnote	Sale	11/02/17	\$15,001 - \$50,000
50	Berry Global Group Inc. Stock BERY	See Endnote	Purchase	11/02/17	\$1,001 - \$15,000
51	Constellation Brands, Inc. Stock STZ	See Endnote	Purchase	11/02/17	\$1,001 - \$15,000
52	Citigroup Inc. Bonds; 6.125% Nov 21 2017 - REDEEMED	See Endnote		11/21/17	\$50,001 - \$100,000
53	American Water Works Company, Inc. Stock AWK	See Endnote	Purchase	12/04/17	\$1,001 - \$15,000
54	JPMorgan Chase & Co. Stock JPM	See Endnote	Purchase	12/04/17	\$1,001 - \$15,000
55	Energy Transfer Partners, LP Stock ETP	See Endnote	Sale	12/04/17	\$15,001 - \$50,000
56	Cypress Semiconductor Corporation Stock CY	See Endnote	Purchase	12/04/17	\$1,001 - \$15,000
57	Archer Daniels Midland Company Stock ADM	See Endnote	Sale	12/04/17	\$1,001 - \$15,000
58	Magellan Midstream Partners, L.P. Stock MMP	See Endnote	Sale	12/04/17	\$1,001 - \$15,000
59	Motorola Solutions, Inc. Stock MSI	See Endnote	Sale	12/04/17	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
60	Morgan Stanley Bonds; 2.125% April 25, 2018	See Endnote	Purchase	11/30/17	\$15,001 - \$50,000
61	Northrup Grumman Corporation Stock NOC	See Endnote	Purchase	12/04/17	\$1,001 - \$15,000
62	Ollie's Bargain Outlet Holdings, Inc. Stock OLLI	See Endnote	Purchase	12/04/17	\$1,001 - \$15,000
63	Vanguard Institutional Target Retirement 2010 Fund Instl Cl VIRTX	See Endnote	Exchange	07/21/17	\$100,001 - \$250,000
64	Vanguard Institutional Target Retirement Income Fund Inst Class VITRX	See Endnote	Exchange	07/21/17	\$100,001 - \$250,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	BB&T Bank, Winston-Salem, NC	Mortgage on Personal Residence	\$100,001 - \$250,000		3.25%	ARM

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
2.	1	Duke University Defined Contribution Plan (403(b)). No remaining value. As the Fidelity Government Cash Reserves Fund is a money market fund, distributions from the Fund have not been reported as transactions. This item will not be reported in future years.
2.	2	Value is not readily ascertainable. Filer began receiving benefits in October 2017, \$1,703.68/month.
3.	2	The money market fund comprising this 403(b) plan, Fidelity Cash Reserves Fund, had no remaining value as of 12/31/2017; distribution of all monies in the Fund was completed in CY 2017. This item will not be reported going forward.
5.	2	Aggregates TIAA-CREF plans for former employers WGBH, Boston, MA and UNC at Chapel Hill/UNC-TV.
5.	2.4	Effective July 21, 2017, Vanguard merged all 2010 Target Retirement Funds, including this one, into its Target Retirement Income group of funds. All shares of this fund exchanged.
5.	2.6	Effective July 21, 2017, Vanguard merged all 2010 Target Retirement Funds into its Target Retirement Income group of funds.
6.	2	Merrill Lynch's Bank Deposit Program is with Bank of America. Listed for tracking purposes.
6.	3	Cash account. Listed for tracking purposes.
6.	4	All sold, asset not owned as of 12/31/2017.
6.	5	All sold, asset not owned as of 12/31/2017.
6.	7	Three accretions in 2017, see transactions.
6.	10	One accretion in 2017, see transactions.
6.	12	Dow Chemical Company and E.I. du Pont de Nemours & Company (DuPont) merged, effective 8/31/2017. This is the listing for the new company, with income reflected for period 8/31/2017, through 12/31/2017.
6.	13	Value decreased from 2017 form due to market forces.
6.	14	All sold, asset not held as of 12/31/2017.
6.	15	Valuation increase from 2017 form due to market forces.
6.	16	Valuation increase from 2017 form due to market forces.
6.	25	All sold, asset not held as of 12/31/2017.

PART	#	ENDNOTE
6.	28	This stock was owned as of 12/31/2016, and reported on 2017 annual form. All stock was sold in February 2017, but a new purchase was made in December 2017. See transactions and their endnotes.
6.	30	One accretion in 2017, see transactions.
6.	31	All sold, asset not held as of 12/31/2017.
6.	32	Valuation increase from 2017 form due to market forces.
6.	33	Valuation increase from 2017 form due to market forces.
6.	34	Valuation increase from 2017 form due to market forces.
6.	35	Valuation increase from 2017 form due to multiple 2017 accretions, see transactions.
6.	36	Valuation increase from 2017 form due to market forces.
6.	39	Stock was acquired in January 2017 through an exchange with SLM and redeemed in full in March 2017.
6.	40	New. First tranche of Morgan Stanley bonds listed in this Part.
6.	41	New.
6.	42	New in 2017. Second tranche of Morgan Stanley bonds listed in this Part.
6.	43	New in 2017.
6.	44	New in 2017.
6.	45	New in 2017.
6.	46	Dow Chemical Company and E.I. du Pont de Nemours & Company (DuPont) merged, effective 8/31/2017. The new company is listed on this report as DowDuPont Inc., with ticker symbol DWDP. This entry reflects Dow earnings in 2017 until merger.
6.	47	New in 2017.
6.	48	New in 2017.
6.	49	New in 2017.

PART	#	ENDNOTE
6.	50	New in 2017. The bonds were purchased in March 2017 and all matured in June 2017, see transactions. Asset was not held as of 12/31/2017.
6.	51	New in 2017. The bonds were purchased in July and all redeemed in October. Asset was not held as of 12/31/2017.
6.	52	New in 2017. The bonds were purchased in July and all matured in November, see transactions. Asset was not held as of 12/31/2017.
7.	1	All exchanged for Navient. < \$201 income earned prior to exchange.
7.	2	New. Later sold in March 2017.
7.	3	This stock was owned as of 12/31/2016, reported on 2017 annual form, and sold by this transaction - all sold. <\$201 in income prior to sale. A new purchase was made in December 2017 and stock is again reported on 2018 annual form.
7.	4	New in 2017, but sold in March.
7.	5	All sold. <\$201 in income earned prior to sale.
7.	6	This CD was purchased in 2016 and listed on the 2017 annual form. Not held as of 12/31/2017. < \$201 income prior to redemption.
7.	7	Accretion to existing stock.
7.	9	Matures March 15, 2017.
7.	10	Matures April 15, 2017.
7.	11	Matures May 2017.
7.	12	Purchased in February 2017 and all sold by this transaction. <\$201 income earned prior to sale.
7.	13	CD was purchased in February 2017. <\$201 income earned prior to redemption.
7.	14	Accretion to existing stock.
7.	15	New.
7.	16	New. All sold later, see June 2017 transaction and end note.
7.	17	CD was purchased in February 2017. <\$201 income earned prior to redemption.

PART	#	ENDNOTE
7.	18	All shares of this preferred stock were redeemed by this transaction. Navient was acquired by filer's spouse in January 2017 through an exchange of Sallie Mae stock; Navient was spun off from Sallie Mae in 2014. Navient reported in Part 6 due to income earned prior to redemption.
7.	19	Separate purchase from 3/13. All sold later, see June 2017 transaction and end note.
7.	20	New. Bonds mature June 2017.
7.	21	Accretion to existing holding.
7.	22	Referred to in 278-T documenting purchase as CD#2 from this bank. CD was purchased in February 2017. <\$201 income earned prior to redemption.
7.	23	Effective May 1, 2017, Energy Transfer Partners, LP, merged with Sunoco Logistics Partners (SXL), with SXL purchasing Energy Transfer Partners. The new company will be called Energy Transfer Partners, LP, and use the same ticker symbol as the purchased company. Owners of the old Energy Transfer Partners, LP, received 1.5 shares of stock in the merged company for each share of their existing stock. Filer did not own SXL, so only the transfer of stock to Energy Transfer Partners has been reported. All Energy Transfer Partners stock was sold in December 2017, see that transaction and end note.
7.	24	All sold.
7.	25	Referred to in 278-T documenting purchase as CD#3 from this bank. CD was purchased in February 2017. <\$201 income earned prior to redemption.
7.	26	Accretion to existing holding.
7.	27	New.
7.	28	Matures June 30, 2017.
7.	29	Matures August 30, 2017).
7.	30	Referred to in 2017 278-T documenting purchase as CD#4 from this bank. CD was purchased in May 2017. <\$201 in interest earned prior to redemption.
7.	31	All sold. Purchased in two transactions in March 2017. No cap gains, <\$200 earned in dividends.
7.	32	These bonds were purchased in March 2017 and all matured/redeemed as reflected in this transaction.
7.	33	Accretion to existing stock.
7.	34	Accretion to existing holding.



PART	#	ENDNOTE
7.	35	New.
7.	36	Partial sale.
7.	37	Accretion to existing holding.
7.	38	New.
7.	39	Referred to in 278-T documenting purchase as CD#5 from this bank. CD was purchased in May 2017. <\$201 income earned prior to redemption.
7.	40	Exchange resulted from merger of Dow Chemical Company and E.I. du Pont de Nemours & Company (DuPont), effective Aug. 31, 2017. The new company will trade under the name DowDuPont, with ticker symbol DWDP. Prior to merger, Dow earned >\$201 in dividends.
7.	41	Exchange resulted from merger of Dow Chemical Company and E.I. du Pont de Nemours & Company (DuPont), effective Aug. 31, 2017. The new company will trade under the name DowDuPont, with ticker symbol DWDP.
7.	42	New. One of two tranches of Morgan Stanley bonds listed in Other Assets part.
7.	43	New.
7.	44	Accretion to existing holding.
7.	45	All sold.
7.	46	All sold. <\$201 earned in dividends/cap gains prior to sale.
7.	47	All bonds redeemed from July 2017 purchase.
7.	48	New.
7.	49	All sold.
7.	50	New.
7.	51	Accretion.
7.	52	New. The bonds were purchased in July 2017 and all redeemed by this transaction.
7.	53	New. Stock was previously owned and reported on 2017 annual form, but then all sold in February 2017.

PART	#	ENDNOTE
7.	54	Accretion to existing holding.
7.	55	All sold.
7.	56	New.
7.	57	All sold.
7.	58	Partial sale. No effect on categories in Part 6 entry.
7.	59	Partial sale. Income from sale included in Part 6 entry.
7.	60	New. Second of two tranches of Morgan Stanley bonds listed in Other Assets part.
7.	61	New.
7.	62	Accretion to existing holding.
7.	63	Effective July 21, 2017, Vanguard merged all 2010 Target Retirement Funds into its Target Retirement Income group of funds.
7.	64	Effective July 21, 2017, Vanguard merged all 2010 Target Retirement Funds into its Target Retirement Income group of funds.

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

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

---