

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

DAVIS, THOMAS

Director, Office of Recapitalization, Department of Housing and Urban Development

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/ DAVIS, THOMAS [electronically signed on 07/13/2016 by DAVIS, THOMAS 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/ Allen, Lindsey, Certifying Official [electronically signed on 08/18/2016 by Allen, Lindsey in Integrity.gov]

Other review conducted by

/s/ Baxter, Daniel, Ethics Official [electronically signed on 08/11/2016 by Baxter, Daniel in Integrity.gov]

U.S. Office of Government Ethics Certification

Transactions

#	DESCRIPTION		TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	Rollover of Recap Services Corp 401(k) Account	See Endnote	Sale	05/27/16	Yes	\$50,001 - \$100,000
2	Transfer of old Ameriprise One Financial Account to new Ameriprise One Financial Account	See Endnote	Exchange	07/08/16	No	\$50,001 - \$100,000
3	Rebalance - Sale of Janus Global Research Class A	See Endnote	Sale	07/08/16	No	\$15,001 - \$50,000
4	Rebalance - Sale of Fidelity Advisor New Insights Class A	See Endnote	Sale	07/08/16	No	\$15,001 - \$50,000
5	Rebalance and Rollover Investment - Purchase Invesco Global Real Estate Income Class A	See Endnote	Purchase	07/08/16	No	\$1,001 - \$15,000
6	Rebalance and Rollover Investment - Purchase Deutsche Enhanced Commodity Strategy Class A	See Endnote	Purchase	07/08/16	No	\$1,001 - \$15,000
7	Rebalance and Rollover Investment - Purchase Fidelity Advisor Strategic Income Class A	See Endnote	Purchase	07/0/16	No	\$1,001 - \$15,000
8	Rebalance and Rollover Investment - Purchase MFS International Diversification Class A	See Endnote	Purchase	07/08/16	No	\$15,001 - \$50,000
9	Rebalance and Rollover Investment - Purchase Pimco Income Class A	See Endnote	Purchase	07/08/16	No	\$1,001 - \$15,000
10	Rebalance and Rollover Investment - Purchase Fidelity Advisor Mid Cap Value Class A	See Endnote	Purchase	07/08/16	No	\$15,001 - \$50,000
11	Rebalance and Rollover Investment - Purchase Oppenheimer Developing Markets Class A	See Endnote	Purchase	07/08/16	No	\$15,001 - \$50,000

Endnotes

PART	#	ENDNOTE
Transactions	1	Account was liquidated and check cut for the benefit of the rollover IRA trustee May 27, 2016. Check (i.e., notification) was received June 11, 2016 and forwarded to the rollover IRA trustee. Check was deposited June 17, 2016. Rollover included sale of all of the following assets listed in Section 2 of my most recent report: Loomis Sayles Strategic Income Fund - Class A; Oppenheimer International Bond Fund - Class A; JPMorgan SmartRetirement 2035 Fund - Class A; Invesco Growth and Income Fund - Class A; BlackRock S&P 500 Index Fund - Institutional Class; Alger Capital Appreciation Fund - Class A; Columbia Mid-Cap Index Fund - Class A; Undiscovered Managers Behavioral Value Fund - Class A; Vitrus Emerging Markets Opportunities Fund - Class A; AllianzGI Global Natural Resources Fund - Class A; and Principal Real Estate Securities Fund - Class A.
Transactions	2	Due to requirements from Ameriprise, all funds in my original One Financial account needed to be moved from one account number to another account number. The investments were the same in both accounts.
Transactions	3	Within Ameriprise Strategic Portfolio Service Advantage IRA; sale of all of item 5.7 in prior financial disclosure.
Transactions	4	Within Ameriprise Strategic Portfolio Service Advantage IRA; sale of a portion of item 5.5 in prior financial disclosure.
Transactions	5	Within Ameriprise Strategic Portfolio Service Advantage IRA; item 5.1 in prior financial disclosure.
Transactions	6	Within Ameriprise Strategic Portfolio Service Advantage IRA; item 5.4 in prior financial disclosure.
Transactions	7	Within Ameriprise Strategic Portfolio Service Advantage IRA; item 5.6 in prior financial disclosure.
Transactions	8	Within Ameriprise Strategic Portfolio Service Advantage IRA; item 5.9 in prior financial disclosure.
Transactions	9	Within Ameriprise Strategic Portfolio Service Advantage IRA; item 5.10 in prior financial disclosure.
Transactions	10	Within Ameriprise Strategic Portfolio Service Advantage IRA; new investment.
Transactions	11	Within Ameriprise Strategic Portfolio Service Advantage IRA; new investment.

Summary of Contents

The 278-T discloses purchases, sales, or exchanges of securities in excess of \$1,000 made on behalf of the filer, the filer's spouse, or dependent child. Transactions are required to be disclosed within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Filers need not disclose (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the filer, the filer's spouse, and the filer's dependent children.

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.
