

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

Filer's Information

Luger, Andrew M

United States Attorney for the District of Minnesota, Department of Justice - Executive Office for United States Attorneys

Date of Termination: 03/10/2017

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Luger, Andrew M [electronically signed on 04/06/2017 by Luger, Andrew M 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/ Lucy Hurley, for Jay Macklin, Certifying Official [workflow re-designation - 08/30/2017 electronically signed on 08/31/2017 by Lucy Hurley, for Jay Macklin in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [workflow re-designation - 08/30/2017 electronically signed on 10/06/2017 by Skalla, Daniel L in Integrity.gov]

1. Filer's Positions Held Outside United States Government

None

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

None

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	General Mills 401(k)	N/A			
1.1	General Mills stock options (etrade account)	N/A	Over \$1,000,000	Dividends	\$50,001 - \$100,000
1.2	General Mills Diversified U.S. Equity Fund	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.3	General Mills Company Stock Fund (invests 100% GM common stock)	N/A	\$250,001 - \$500,000		\$1,001 - \$2,500

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Tapestry/Summerfield LP, Excelsior, MN (Apt Bldgs)	N/A	\$50,001 - \$100,000	Rent or Royalties	\$2,501 - \$5,000
2	Pheasant Ridge LLC, Excelsior, MN (Apt Bldg, St. Cloud, MN)	N/A	\$1,001 - \$15,000	Rent or Royalties	\$2,501 - \$5,000
3	Oakwood Heights LP, Excelsior, MN (Apt Bldg, St. Cloud, MN)	N/A	\$1,001 - \$15,000	Rent or Royalties	\$1,001 - \$2,500
4	Four Seasons Estate LP, Excelsior, MN (Apt Bldg, Sartell, MN)	N/A	\$15,001 - \$50,000	Rent or Royalties	\$5,001 - \$15,000
5	Geneva Place LP, Excelsior, MN (Apt Bldg, Sauk Rapids, MN)	N/A	\$1,001 - \$15,000	Rent or Royalties	\$1,001 - \$2,500
6	Wingate Realty LP, St Louis, MN (Apt Bldg, New Hope MN)	N/A	\$1,001 - \$15,000	Rent or Royalties	\$2,501 - \$5,000
7	G&G Limited Partnership (1/3 interest in lake property)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
8	UST - (f/b/o dep child)r Irrevocable Trust	N/A			
8.1	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.2	iShares MSCI EAFE ETF (EFA)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
8.3	iShares Russell 1000 Growth ETF (IWF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.4	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.5	Mosaic Co (MOS)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.6	SPDR S&P 500 ETF Tr Unit Ser 1 (SPY)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
8.7	SPDR S&P Midcap 400 ETF Tr Unit Ser 1 (MDY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.8	Delaware Emerging Markets Fund (DEMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.9	iShares Edge MSCI Minimum Volume Emerging Markets ETF (EEMV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.10	iShares Edge MSCI Minimum Volume EAFE ETF (EFAV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.11	MFS International New Discovery Fund (MWNIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.12	Oppenheimer International Growth Fund (OIGYX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.13	Vanguard FTSE Developed Markets ETF (VEA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9	UST - IRA Andrew M Luger	N/A			
9.1	iShares iBoxx Investment Grade Corporate bond ETF (LQD)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.2	iShares Cohen & Steers REIT ETF (ICF)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
9.3	iShares Russell 2000 ETF (IWM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.4	PIMCO Total Return Fund Instl (PTTRX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.5	PIMCO Commodity Real Return Strategy Fund (PCRIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.6	Pioneer Global High Yield Fund (GHYYX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
9.7	SPDR S&P Midcap 400 ETF (MDY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.8	Boston Partners Long/Short Resh. Fund (BPIRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10	UST - IRA (spouse)	N/A			
10.1	iShares iBoxx Investment Grade Corporate Bond ETF (LQD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.2	iShares Cohen & Steers REIT ETF (ICF)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.3	PIMCO Total Return Fund (PTTRX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.4	PIMCO Global Multi-Asset Instl (PGAIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.5	Pioneer Global High Yield Fund (GHYYX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
10.6	SPDR S&P Midcap 400 ETF (MDY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10.7	Columbia Pacific/Asia Fund (USPAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.8	Delaware Emerging Markets Fund (DEMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.9	Goldman Sachs Growth Opportunities Fund (GGOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.10	iShares Edge MSCI Minimum Volume Emerging Markets ETF (EEMV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.11	iShares Russell Mid-Cap ETF (IWR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.12	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.13	iShares Edge MSCI Minimum Volume EAFE ETF (EFAV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.14	John Hancock Funds III Disciplined Value Midcap Fund (JVMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.15	Lazard Developing Markets Equity Portfolio Fund (LDMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.16	Clearbridge Small Cap Growth Fund (SBPYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.17	MFS International New Discovery Fund (MWNIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.18	Oppenheimer International Growth Fund (OIGYX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.19	SPDR DJ Wilshire International Real Estate ETF (RWX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.20	Vanguard FTSE Developed Markets ETF (VEA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.21	Victory Small Co Opportunity Fund (VSOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.22	Cohen & Steers Preferred Securities & Income Fund (CPXIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.23	Doubleline Total Return Bond Fund (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.24	Metro West T/R Bond (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.25	AQR Managed Futures Strategy Fund (AQMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.26	Arbitrage Fund (ARBNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.27	Blackrock Global Long/Short Cr Fund (BGCIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.28	Blackstone Alternative Multi-Strategy Fund (BXMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.29	Boston Partners Long/Short Resh. Fund (BPIRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.30	Credit Suisse Commodity Return Strategy Fund (CRSOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.31	United States Commodity Index Fund ETF (USCI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	UST - (joint account)	N/A			
11.1	iShares Select Dividend ETF (DVY)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
11.2	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.3	iShares MSCI EAFE ETF (EFA)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
11.4	iShares Cohen & Steers REIT ETF (ICF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.5	iShares Russell 2000 ETF (IWM)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11.6	PIMCO Commodities Plus Strategy Fund (PCLIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
11.7	Delaware Emerging Markets Fund (DEMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.8	Goldman Sachs Growth Opportunities Fund (GGOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.9	iShares Russell Midcap ETF (IWR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.10	iShares Edge MSCI Minimum Volume EAFE ETF (EFAV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.11	John Hancock Funds III Disciplined Value Midcap Fund (JVMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.12	Lazard Developing Markets Equity Portfolio Fund (LDMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.13	MFS International New Discovery Fund (MWNIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.14	Oppenheimer International Growth Fund (OIGYX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.15	SPDR S&P Emerging Small Cap ETF (EWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.16	Vanguard FTSE Developed Markets ETF (VEA)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
11.17	AQR Managed Futures Strategy Fund (AQMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.18	Arbitrage Fund (ARBNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.19	BlackRock Global Long/Short Credit Instl (BGCIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.20	Blackstone Alternative Multi-Strategy Fund (BXMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.21	Boston Partners Long/Short Resh. Fund (BPIRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.22	Credit Suisse Commodity Return Strategy Fund (CRSOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
12	UST - Spouse AGY PLD	N/A			
12.1	Apple Inc. (AAPL)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
12.2	Cigna Corporation (CI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
12.3	Chubb Corp (CB)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
12.4	Citigroup Inc (C)	N/A	\$15,001 - \$50,000		None (or less than \$201)
12.5	Costco Wholesale Corp (COST)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.6	Walt Disney Co (DIS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.7	Dow Chemical (DOW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.8	EMC Corp (EMC)	See Endnote	N/A	Dividends	\$201 - \$1,000
12.9	EOG Resources (EOG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
12.10	FedEx Corp (FDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.11	Honeywell Intl Inc (HON)	See Endnote	N/A	Dividends	\$201 - \$1,000
12.12	Intl Business Machines Corp (IBM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.13	iShares MSCI EAFE ETF (EFA)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
12.14	iShare Russell 2000 ETF (IWM)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12.15	JP Morgan Chase & Co (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.16	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.17	Estee Lauder Cos. (EL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.18	Lowes Cos Inc Com (LOW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.19	McDonald's Corp (MCD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.20	McKesson Corp (MCK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.21	Microsoft Corp (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.22	Mosaic Co (MOS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.23	Oracle Corp (ORCL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.24	PNC Finl Services Group (PNC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.25	PepsiCo Inc (PEP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.26	Philip Morris International (PM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
12.27	Price T Rowe Group Inc Com (TROW)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.28	Procter & Gamble (PG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.29	Prudential Financial Inc (PRU)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.30	QUALCOMM Inc (QCOM)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
12.31	Questar Corp Com (D)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
12.32	Royal Dutch Shell PLC (RDS A)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
12.33	SPDR S&P 500 ETF (SPY)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
12.34	SPDR S&P Midcap 400 ETF (MDY)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.35	Schlumberger Ltd (SLB)		N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
12.36	Sempra Energy (SRE)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.37	Starwood Hotel & Resort World (HOT)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.38	TJX Cos Inc (TJX)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.39	Thermo Fisher Scientific (TMO)		N/A	\$15,001 - \$50,000		None (or less than \$201)
12.40	Union Pacific Corp (UNP)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.41	United Technologies Corp (UTX)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.42	VF Corp (VFC)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.43	Verizon Communications Inc (VZ)		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
12.44	Wells Fargo & Co New Com (WFC)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.45	Accenture PLC (ACN)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.46	Broadcom Ltd./Avago (AVGO)	See Endnote	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.47	Gilead Sciences (GILD)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.48	Dish Network (DISH)		No	\$1,001 - \$15,000		None (or less than \$201)
12.49	eBay Inc. (EBAY)		No	\$1,001 - \$15,000		None (or less than \$201)
12.50	Express Script Holding Company (ESRX)		N/A	\$1,001 - \$15,000		None (or less than \$201)
12.51	Advansix Inc (ASIX)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
12.52	Alphabet Inc. Class C (GOOG)		N/A	\$15,001 - \$50,000		None (or less than \$201)
12.53	Alphabet Inc. Class A (GOOG L)		N/A	\$15,001 - \$50,000		None (or less than \$201)
12.54	Delaware Emerging Markets Funds (DEMIX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.55	Dell Technologies (DVMT)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
12.56	ILG Inc Com (ILG)	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
12.57	Intuit Com (INTU)		N/A	\$1,001 - \$15,000		None (or less than \$201)
12.58	iShares MSCI Emerging Markets ETF (EEM)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.59	iShares Edge MSCI Minimum Volume EAFE ETF (EFAV)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.60	Marriott Intl Inc (MAR)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.61	PayPal Holdings Inc (PYPL)		N/A	\$1,001 - \$15,000		None (or less than \$201)
12.62	Arbitrage Fund (ARBFX)		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.63	Blackrock Global Long/Short Fund (BGCIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12.64	Blackstone Alternative Multi-Strategy Fund (BXMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.65	Boston Partners Long/Short Resh. Fund (BPIRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
13	UST - (spouse custody)	N/A			
13.1	General Mills Inc (GIS)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$50,001 - \$100,000
14	Schwab - Andrew Luger IRA Rollover	N/A			
14.1	Schwab Advisor Cash Reserves (SWZXX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.2	Brookfield Asset Management Inc. (BAM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.3	iShares Trust - iShares Russell 3000 ETF (IWW)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
14.4	American Tower Corporation (AMT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
14.5	Danaher Corp. (DHR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14.6	EOG Resources, Inc. (EOG)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
14.7	Verizon Communications Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.8	RESCAP LIQUIDATING (RESCU)	N/A	\$50,001 - \$100,000		None (or less than \$201)
14.9	Berkshire Hathaway Inc. (BRKB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
14.10	Celgene Corporation (CELG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
14.11	Dipexium Pharmaceuticals, Inc. (DPRX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.12	Alphabet Inc. (GOOGL) See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)
14.13	PAREXEL International Corporation (PRXL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
14.14	Pure Cycle Corporation (PCYO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.15	Roche Holding AG (RHHBY)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.16	General Electric Co (GE)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14.17	Special Opportunities Fund (SPE)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
14.18	Albemarle Corp (ALB)	N/A	\$15,001 - \$50,000		\$201 - \$1,000
14.19	Fortive Corporation (FTV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14.20	New Senior Investment Group (SNR)	N/A	\$15,001 - \$50,000	Dividends	\$5,001 - \$15,000
15	Country Acres Estate LP, Excelsior, MN - Apart Bldg, Sartell, MN	N/A	\$15,001 - \$50,000	Rent or Royalties	\$2,501 - \$5,000
16	Bank of America (all cash accounts)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Country Acres Estate LP, Excelsior, MN - Apt Bldg, Sartell, MN	N/A	\$15,001 - \$50,000	Rent or Royalties	\$2,501 - \$5,000
18	UST - Revocable Trust				
18.1	Columbia Dividend Income Fund (GSFTX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18.2	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18.3	iShares MSCI EAFE Index (EFA)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.4	iShares Russell 2000 Index (IWM)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
18.5	SPDR S&P 500 (SPY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
18.6	SPDR S&P Mid Cap 400 (MDY)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
18.7	Delaware Emerging Markets Fund (DEMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.8	iShares Edge MSCI Minimum Volume EAFE ETF (EFAV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18.9	SPDR DJ Wilshire International Real Estate ETF (RWX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18.10	Vanguard FTSE Developed Markets ETF (VEA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
18.11	Vanguard REIT ETF (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.12	Cohen & Steers Preferred Securities & Income Fund (CPXIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.13	Doubleline Total Return Bond Fund (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.14	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18.15	Metro West T/R Bond (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	Centuring North LP St. Paul, MN (Apt Building)	N/A	None (or less than \$1,001)	Rent or Royalties	\$100,001 - \$1,000,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	ABB LTD ADR	Sale	1/12/16	\$15,001 - \$50,000
2	SPDR S&P MidCap 400	Sale	1/21/16	\$15,001 - \$50,000
3	iShares MSCI Emerging Markets Index	Purchase	1/21/16	\$1,001 - \$15,000
4	iShares Russell 2000 Index	Sale	1/21/16	\$15,001 - \$50,000
5	SPDR S&P 500	Purchase	1/21/2016	\$15,001 - \$50,000
6	KKR & CO LP	Sale	2/18/2016	\$1,001 - \$15,000
7	NEW SENIOR INV GRP	Purchase	3/4/2016	\$15,001 - \$50,000
8	RESCAP LIQUIDATING T	Purchase	3/17/2016	\$1,001 - \$15,000
9	Special Opportunities CF	Purchase	05/06/16	\$1,001 - \$15,000
10	Century North LP St. Paul, MN (Apt Building)	Sale	05/19/16	\$100,001 - \$250,000
11	Pure Cycle Corporation - Common Stock	Purchase	6/15/16	\$1,001 - \$15,000
12	PAREXEL International Corporation - Common Stock	Sale	6/15/16	\$1,001 - \$15,000
13	Blackstone Alternative Multi-Strategy Fund	Purchase	6/28/16	\$15,001 - \$50,000
14	AQR Managed Futures Strategy Fund	Purchase	6/28/16	\$15,001 - \$50,000
15	Arbitrage Fund	Purchase	6/28/16	\$1,001 - \$15,000
16	Blackrock Global Long/Short CR Fund	Purchase	6/28/16	\$1,001 - \$15,000
17	iShares MSCI EAFE Index	Sale	6/30/16	\$50,001 - \$100,000
18	Goldman Sachs Group Inc	Sale	6/30/16	\$1,001 - \$15,000
19	Anadarko Petroleum Corp	Sale	6/30/16	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
20	iSHARES Edge MSCI	Purchase	6/30/16	\$15,001 - \$50,000
21	National Oilwell Varco Inc	Sale	6/30/16	\$1,001 - \$15,000
22	NATIXIS FDS TR II ASG Global Alternatives Fund	Sale	6/28/16	\$50,001 - \$100,000
23	Marathon Petroleum Corp.	Sale	6/30/16	\$1,001 - \$15,000
24	QUALCOMM Inc	Sale	6/30/16	\$1,001 - \$15,000
25	Royal Dutch Shell PLC	Sale	6/30/16	\$1,001 - \$15,000
26	Vanguard FTSE Developed Markets	Purchase	09/07/16	\$15,001 - \$50,000
27	AQR Managed Futures Strategy Fund	Purchase	09/06/16	\$15,001 - \$50,000
28	ISHARES Edge	Purchase	09/07/16	\$15,001 - \$50,000
29	ISHARES Edge	Purchase	09/07/16	\$15,001 - \$50,000
30	Arbitrage Fund	Purchase	09/06/16	\$1,001 - \$15,000
31	AQR Managed Futures Strategy Fund	Purchase	09/06/16	\$15,001 - \$50,000
32	BlackRock Global Long/Short CR Fund	Purchase	09/06/16	\$15,001 - \$50,000
33	Arbitrage Fund	Purchase	09/06/16	\$1,001 - \$15,000
34	ISHARES Edge	Purchase	09/08/16	\$15,001 - \$50,000
35	ISHARES Edge	Purchase	09/08/16	\$15,001 - \$50,000
36	iShares iBoxx \$ Invest Grade Corp Bond	Purchase	09/08/16	\$1,001 - \$15,000
37	ISHARES Russell Mid-Cap	Purchase	09/08/16	\$15,001 - \$50,000
38	ISHARES Russell Mid-Cap	Purchase	09/08/16	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
39	iShares Russell 2000 Growth Index	Purchase	09/08/16	\$1,001 - \$15,000
40	ISHARES Edge	Purchase	09/08/16	\$15,001 - \$50,000
41	ISHARES Edge	Purchase	09/08/16	\$15,001 - \$50,000
42	Cohen & Steers PFD SECS & Income Fund	Purchase	09/06/16	\$1,001 - \$15,000
43	Blackrock Global Long/Short CR Fund	Purchase	09/06/16	\$15,001 - \$50,000
44	Blackstone Alternative Multi-Strategy Fund	Purchase	09/06/16	\$15,001 - \$50,000
45	Cohen & Steers PFD SECS & Income Fund	Purchase	09/06/16	\$1,001 - \$15,000
46	ISHARES Edge	Purchase	09/08/16	\$15,001 - \$50,000
47	John Hancock FDS III Disciplined Value Mid Cap Fund	Purchase	09/06/16	\$1,001 - \$15,000
48	Lazard Developing Mkts Equity-Portfolio Instl Fund	Purchase	09/06/16	\$1,001 - \$15,000
49	MFS International New Discovery Fund	Purchase	09/06/16	\$15,001 - \$50,000
50	Legg Mason ClearBridge Small Cap Growth Fund	Purchase	09/06/16	\$1,001 - \$15,000
51	Lazard Developing Mkts Equity-Portfolio Instl Fund	Purchase	09/06/16	\$1,001 - \$15,000
52	Metropolitan West Total Return Bond Fund	Purchase	09/06/16	\$1,001 - \$15,000
53	Metropolitan West Total Return Bond Fund	Purchase	09/06/16	\$1,001 - \$15,000
54	Metropolitan West Total Return Bond Fund	Purchase	09/06/16	\$1,001 - \$15,000
55	Oppenheimer Intl Growth Fund	Purchase	09/06/16	\$15,001 - \$50,000
56	Cohen & Steers PDF SECS & Income Fund	Purchase	09/06/16	\$1,001 - \$15,000
57	Robeco Boston Partners Long/Short Res Fund	Purchase	09/06/16	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
58	SPDR DJ Wilshire Intl Real Estate	Purchase	09/08/16	\$1,001 - \$15,000
59	SPDR DJ Wilshire Intl Real Estate	Purchase	09/08/16	\$1,001 - \$15,000
60	Columbia Pacific/Asia Fund	Purchase	09/06/16	\$1,001 - \$15,000
61	SPDR DJ Wilshire Intl Real Estate	Purchase	09/08/16	\$15,001 - \$50,000
62	United STS Commodity Index Fund	Purchase	09/08/16	\$1,001 - \$15,000
63	VanGuard FTSE Developed Markets	Purchase	09/08/16	\$15,001 - \$50,000
64	VanGuard FTSE Developed Markets	Purchase	09/08/16	\$15,001 - \$50,000
65	United STS Commodity Index Fund	Purchase	09/08/16	\$1,001 - \$15,000
66	VanGuard FTSE Developed Markets	Purchase	09/08/16	\$50,001 - \$100,000
67	VanGuard Reit	Purchase	09/08/16	\$1,001 - \$15,000
68	VanGuard REIT	Purchase	09/08/16	\$15,001 - \$50,000
69	VanGuard REIT	Purchase	09/08/16	\$15,001 - \$50,000
70	MFS International New Discovery Fund	Purchase	09/07/16	\$15,001 - \$50,000
71	Victory Small Co. Oppty Fund	Purchase	09/06/16	\$1,001 - \$15,000
72	Delaware Emerging Mkts Fund	Purchase	09/07/16	\$1,001 - \$15,000
73	Oppenheimer Intl Growth Fund	Purchase	09/07/16	\$15,001 - \$50,000
74	iShares iBoxx \$ Invest Grade Corp Bond	Purchase	09/08/16	\$1,001 - \$15,000
75	iShares MSCI EMEA	Sale	09/07/16	\$15,001 - \$50,000
76	iShares MSCI EAFE Index	Sale	09/07/16	\$50,001 - \$100,000
77	iShares Russell 2000 Index	Sale	09/07/16	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
78	SPDR S&P 500	Sale	09/07/16	\$1,001 - \$15,000
79	iShares Select Dividend	Sale	09/08/16	\$50,001 - \$100,000
80	iShares MSCI Emerging Markets EMEA	Sale	09/08/16	\$1,001 - \$15,000
81	SPDR S&P Midcap 400	Sale	09/07/16	\$1,001 - \$15,000
82	iShares MSCI Emerging Markets EMEA	Sale	09/08/16	\$1,001 - \$15,000
83	iShares iBoxx \$ Invest Grade Corp Bond	Sale	09/08/16	\$15,001 - \$50,000
84	iShares MSCI Emerging Markets EMEA	Sale	09/08/16	\$50,001 - \$100,000
85	iShares MSCI EAFE Index	Sale	09/08/16	\$100,001 - \$250,000
86	iShares MSCI EAFE Index	Sale	09/08/16	\$50,001 - \$100,000
87	iShares Russell 2000	Sale	09/08/16	\$50,001 - \$100,000
88	NATIXIS FDS TR II ASG Global Alternatives Fund	Sale	09/06/16	\$50,001 - \$100,000
89	Doubleline Total Return BD Fund	Purchase	09/06/16	\$1,001 - \$15,000
90	Credit Suisse Commodity-Return Strategy Fund	Purchase	09/06/16	\$1,001 - \$15,000
91	Doubleline Total Return BD Fund	Purchase	09/06/16	\$1,001 - \$15,000
92	Delaware Emerging Mkts Fund	Purchase	09/06/16	\$15,001 - \$50,000
93	Delaware Emerging Mkts Fund	Purchase	09/06/16	\$15,001 - \$50,000
94	Doubleline Total Return BD Fund	Purchase	09/06/16	\$1,001 - \$15,000
95	PIMCO CommoditiesPLUS Strategy Instl	Sale	09/06/16	\$50,001 - \$100,000
96	PIMCO Commodity Real Return Strategy Fund	Sale	09/06/16	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
97	PIMCO Global Multi-Asset Instl	Sale	09/06/16	\$50,001 - \$100,000
98	Robeco Boston Partners Long/Short Res Fund	Sale	09/06/16	\$1,001 - \$15,000
99	PIMCO Total Return Instl	Sale	09/06/16	\$15,001 - \$50,000
100	Permanent Portfolio	Sale	09/06/16	\$15,001 - \$50,000
101	Pioneer Global High Yield Fund	Sale	09/06/16	\$50,001 - \$100,000
102	SPDR S&P Midcap 400	Sale	09/08/16	\$15,001 - \$50,000
103	SPDR S&P Midcap 400	Sale	09/08/16	\$15,001 - \$50,000
104	SPDR S&P Midcap 400	Sale	09/08/16	\$50,001 - \$100,000
105	Goldman Sachs Growth Opportunities Fund	Purchase	09/06/16	\$1,001 - \$15,000
106	ISHARES Edge	Purchase	09/08/16	\$15,001 - \$50,000
107	JOHN HANCOCK FDS III DISCIPLINED VALUE MID CAP FUND	Purchase	10/04/16	\$1,001 - \$15,000
108	QUESTAR CORP	Sale	09/19/16	\$1,001 - \$15,000
109	Goldman Sachs Group Inc	Purchase	10/04/16	\$15,001 - \$50,000
110	OPPENHEIMER INTL GROWTH FUND	Purchase	10/04/16	\$15,001 - \$50,000
111	MFS INTERNATIONAL NEW DISCOVERY VALUE MID CAP FUND	Purchase	10/04/16	\$15,001 - \$50,000
112	State Street Corp	Sale	11/18/2016	\$50,001 - \$100,000
113	ALBEMARLE CORP	Purchase	12/13/2016	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
114	Roche HLDG AG ADR (RHHBY)	Purchase	12/28/2016	\$1,001 - \$15,000
115	BOSTON PARTNERS LONG/SHORT RESH FUND	Purchase	12/16/2016	\$15,001 - \$50,000
116	COMM SPDR DJ WILSHIRE INTL REAL ESTATE	Sale	12/20/2016	\$15,001 - \$50,000
117	OPPENHEIMER INTL GROWTH FUND	Sale	12/16/2016	\$1,001 - \$15,000
118	DELAWARE EMERGING MKTS FUND CL	Purchase	12/16/2016	\$1,001 - \$15,000
119	DELAWARE EMERGING MKTS FUND	Purchase	12/16/2016	\$1,001 - \$15,000
120	INTERNATIONAL NEW DISCOVERY FUND	Sale	12/16/2016	\$1,001 - \$15,000
121	LAZARD DEVELOPING MKTS EQUITY-PORTFOIO INSTL FUND	Sale	12/16/2016	\$1,001 - \$15,000
122	GOLDMAN SACHS GROWTH OPPORTUNTIES FUND	Sale	12/16/2016	\$1,001 - \$15,000
123	MANAGED FUTURES STRATEGY FUND CL	Sale	12/16/2016	\$1,001 - \$15,000
124	ISHARES EDGE MSCI MIN VOL EMERGING MKTS	Sale	12/20/2016	\$15,001 - \$50,000
125	ISHARES RUSSELL MID-CAP	Purchase	12/20/2016	\$1,001 - \$15,000
126	ISHARES EDGE MSCI MIN VOL EAFE	Sale	12/20/2016	\$1,001 - \$15,000
127	MANAGED FUTURES STRATEGY FUND CL	Sale	12/16/2016	\$15,001 - \$50,000
128	ISHARES EDGE MSCI MIN VOL EMERGING MKTS	Sale	12/20/2016	\$15,001 - \$50,000
129	ISHARES EDGE MSCI MIN VOL EAFE	Sale	12/20/2016	\$1,001 - \$15,000
130	ISHARES EDGE MSCI MIN VOL EAFE	Sale	12/20/2016	\$1,001 - \$15,000
131	iShares MSCI Emerging Markets Value	Purchase	12/20/2016	\$50,001 - \$100,000
132	VANGUARD FTSE DEVELOPED MARKETS	Purchase	12/20/2016	\$15,001 - \$50,000
133	Vanguard REIT Index Admiral Shares	Sale	12/20/2016	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
134	DELAWARE EMERGING MKTS FUND CL	Purchase	12/16/2016	\$15,001 - \$50,000
135	iShares iBoxx \$ Invest Grade Corp Bond	Sale	1/20/2017	\$1,001 - \$15,000
136	AQR Managed Futures Strategy Fund	Sale	1/20/2017	\$1,001 - \$15,000
137	Doubleline Total Return BD Fund	Sale	1/20/2017	\$1,001 - \$15,000
138	United STS Commodity Index Fund	Sale	1/20/2017	\$1,001 - \$15,000
139	Metro West T/R BD	Sale	1/20/2017	\$1,001 - \$15,000
140	Cohen & Steers PFD SECS & Income Fund	Sale	1/20/2017	\$1,001 - \$15,000
141	VanGuard FTSE All World EX US EFT	Purchase	2/23/2017	\$50,001 - \$100,000
142	Celgene Corp	Sale	02/23/2017	\$1,001 - \$15,000
143	iShares Russell 3000 Index	Sale	02/23/2017	\$15,001 - \$50,000
144	BLACKSTONE ALTERNATIVE	Purchase	12/16/2016	\$1,001 - \$15,000
145	ARBITRAGE FUND CL	Purchase	12/16/2016	\$1,001 - \$15,000
146	ARBITRAGE FUND CL	Purchase	12/16/2016	\$1,001 - \$15,000
147	VANGUARD FTSE DEVELOPED MARKETS	Purchase	12/20/2016	\$15,001 - \$50,000
148	GOLDMAN SACHS GROWTH OPPORTUNTIES FUND	Sale	12/16/2016	\$1,001 - \$15,000
149	ISHARES EDGE MSCI MIN VOL EMERGING MKTS	Sale	12/20/2016	\$15,001 - \$50,000
150	BOSTON PARTNERS LONG/SHORT RESH FUND	Purchase	12/16/2016	\$15,001 - \$50,000
151	ISHARES RUSSELL MID-CAP	Purchase	12/20/2016	\$1,001 - \$15,000
152	MANAGED FUTURES STRATEGY FUND CL	Sale	12/16/2016	\$15,001 - \$50,000
153	DELAWARE EMERGING MKTS FUND CL	Purchase	12/16/2016	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
154	CREDIT SUISSE COMMODITY	Purchase	12/16/2016	\$15,001 - \$50,000
155	ISHARES EDGE MSCI MIN VOL EAFE	Sale	12/20/2016	\$1,001 - \$15,000
156	MANAGED FUTURES STRATEGY FUND CL	Sale	12/16/2016	\$1,001 - \$15,000
157	iShares MSCI Emerging Markets Value	Purchase	12/20/2016	\$15,001 - \$50,000
158	DELAWARE EMERGING MKTS FUND	Purchase	12/16/2016	\$1,001 - \$15,000
159	iShares MSCI Emerging Markets Value	Purchase	12/20/2016	\$15,001 - \$50,000
160	iShares MSCI Emerging Markets Value	Purchase	12/20/2016	\$50,001 - \$100,000
161	DELAWARE EMERGING MKTS FUND CL	Purchase	12/16/2016	\$1,001 - \$15,000
162	SPDR S&P EMERGING SMALL CAP	Purchase	12/21/2016	\$1,001 - \$15,000
163	ISHARES EDGE MSCI MIN VOL EMERGING MKTS	Sale	12/20/2016	\$15,001 - \$50,000
164	LAZARD DEVELOPING MKTS EQUITY-PORTFOLIO INSTL FUND	Sale	12/16/2016	\$1,001 - \$15,000
165	INTERNATIONAL NEW DISCOVERY FUND	Sale	12/16/2016	\$1,001 - \$15,000
166	OPPENHEIMER INTL GROWTH FUND	Sale	12/16/2016	\$1,001 - \$15,000
167	COMM SPDR DJ WILSHIRE INTL REAL ESTATE	Sale	12/20/2016	\$15,001 - \$50,000
168	Vanguard REIT Index Admiral Shares	Sale	12/20/2016	\$15,001 - \$50,000
169	ISHARES EDGE MSCI MIN VOL EAFE	Sale	12/20/2016	\$1,001 - \$15,000
170	ISHARES EDGE MSCI MIN VOL EAFE	Sale	12/20/2016	\$1,001 - \$15,000
171	Roche HLDG AG ADR (RHHBY)	Purchase	12/28/2016	\$1,001 - \$15,000
172	Special Opportunities CF (SPE)	Purchase	12/28/2016	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Bank of America	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2016	2.625%	30 year (adjustable rate)

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	12.8	EMC was sold to Dell in 2016 and was spun off into Dell Technologies (DVMT). As there was no sale or purchase of an asset this transaction is not recorded on a 278-T.
6.	12.11	Honeywell experienced a nontaxable spin off in October of 2016 and some shares were put under the name Advansix Inc (ASIX). As there was no sale or purchase of an asset this transaction is not recorded on a 278-T.
6.	12.37	Starwood Hotels was sold to Marriott in 2016 and was spun off into shares of Interval Leisure Group (ILG) and Marriott. As there was no sale or purchase of an asset this transaction is not recorded on a 278-T.
6.	12.46	Avago experienced a name change in 2016 and is now called Broadcom Ltd.
6.	12.51	Honeywell experienced a nontaxable spin off in October of 2016 and some shares were put under the name Advansix Inc (ASIX). As there was no sale or purchase of an asset this transaction is not recorded on a 278-T.
6.	12.55	EMC was sold to Dell in 2016 and was spun off into Dell Technologies (DVMT). As there was no sale or purchase of an asset this transaction is not recorded on a 278-T.
6.	12.56	Starwood Hotels was sold to Marriott in 2016 and was spun off into shares of Interval Leisure Group (ILG) and Marriott. As there was no sale or purchase of an asset this transaction is not recorded on a 278-T.

PART	#	ENDNOTE
6.	12.60	Starwood Hotels was sold to Marriott in 2016 and was spun off into shares of Interval Leisure Group (ILG) and Marriott. As there was no sale or purchase of an asset this transaction is not recorded on a 278-T.
6.	14.12	Google changed its name to Alphabet in October 2015; this entry replaces the previously reported Google L and Google entries.

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

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

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).
