

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

Filer's Information

Maloney, Andrew Kerwin

Assistant Secretary for Legislative Affairs, Department of the Treasury

Date of Termination: 06/15/2018

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/ Maloney, Andrew Kerwin [electronically signed on 06/15/2018 by Maloney, Andrew Kerwin 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/ Horton, Elizabeth A, Certifying Official [electronically signed on 07/20/2018 by Horton, Elizabeth A in Integrity.gov]

Other review conducted by

/s/ Furey, Christian, Ethics Official [electronically signed on 07/13/2018 by Furey, Christian in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 07/13/2018

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Hess Corporation	Washington, District of Columbia	Corporation	Vice President	11/2012	8/2017
2	Meridian International Center	Washington, District of Columbia	Non-Profit	Board of Trustees	7/2013	8/2017
3	Randolph-Macon College	Ashland, Virginia	University/College	Trustee	10/2010	8/2017
4	AKM Revocable Living Trust	Washington, District of Columbia	Trust	Trustee	10/2003	Present
5	SKM Revocable Living Trust	Washington, District of Columbia	Trust	Trustee	10/2003	Present
6	Business Government Relations Council	Washington, District of Columbia	Non-Profit	Member of Board of Directors	1/2013	8/2017
7	U.S. Chamber of Commerce	Washington, District of Columbia	Non-Profit	Member of Public Affairs Committee	1/2015	8/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	American Funds International Growth	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Blackrock High Equity Income	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Fidelity Invest Emerging Market	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4	American Funds The Growth Fund of America	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5	American Funds New Perspective Fund	Yes	\$100,001 - \$250,000		\$201 - \$1,000
6	American Funds Investment Company of America	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	American Funds AMCAP Fund	Yes	\$100,001 - \$250,000		\$201 - \$1,000
8	American Funds New World Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
9	American Funds SMALLCAP World Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
10	American Funds The New Economy Fund	Yes	\$50,001 - \$100,000		\$201 - \$1,000
11	Touchstone Value	Yes	\$50,001 - \$100,000		None (or less than \$201)
12	Vanguard Small Cap	Yes	\$15,001 - \$50,000		None (or less than \$201)
13	Vanguard Developing Markets	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
14	William Blair Intl Small Cap	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	Lazard Emerging Markets	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Vanguard Total Bond Market Index Admiral Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	Western Asset Inflation Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
18	Hess Corporation Defined Benefit Plan (Value not readily ascertainable): eligible for \$814,347 lump sum at age 65	N/A			None (or less than \$201)
19	Hess Corporation Defined Benefit Plan (Value not readily ascertainable): eligible for \$1,410/mo. at age 65	N/A			None (or less than \$201)
20	Ogilvy Government Relations Defined Benefit Plan: eligible for \$376/month at age 55 or \$566/month at age 65.	N/A	\$50,001 - \$100,000		None (or less than \$201)
21	American Mutual Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Hess Corporation	Washington, District of Columbia	I will continue to participate in the defined contribution plan. No further contributions will be made by me or Hess Corp. after my separation.	12/2012
2	Hess Corporation	Washington, District of Columbia	I will continue to participate in this defined benefit plan. I am eligible for \$814,347 lump sum at age 65.	12/2012
3	Hess Corporation	Washington, District of Columbia	I will continue to participate in this defined benefit plan. I am eligible for \$1,410/mo. at age 65.	12/2012
4	Ogilvy Government Relations	Washington, District of Columbia	I will continue to participate in this defined benefit plan. I am eligible for \$376/month at age 55 or \$566/month at age 65.	3/2005

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	Johns Hopkins University	N/A		salary	
2	American Funds Intl Growth	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3	Capital World Growth and Income	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4	Growth Fund of America	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5	Fidelity Growth Discovery	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
6	Fidelity Capital Appreciation	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
7	"Seasonal Patterns of Stress, Immune Function and Disease", Cambridge University Press, (value not readily ascertainable)	N/A			None (or less than \$201)
8	"Sex and Gender Differences in Infection and Treatments for Infectious Diseases," Springer International Publishing, (value not readily ascertainable)	N/A			None (or less than \$201)
9	"Sex Hormones and Immunity to Infection," Springer-Verlag Berlin Heidelberg, (value not readily ascertainable)	N/A			None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	UBS Money Market - U.S. Brokerage Account (Cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	Alphakeys European Real Estate Opportunities Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	Madison Dearborn Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	DC1 529	No			
4.1	American Funds AMCAP Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.2	American Funds EuroPacific Growth Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.3	American Funds The Growth Fund of America	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.4	American Funds The New Economy Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.5	American Funds New Perspective Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	DC2 529	No			
5.1	American Funds AMCAP Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	American Funds EuroPacific Growth Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.3	American Funds The Growth Fund of America	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	American Funds The New Economy Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.5	American Funds New Perspective Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	US TIP 2028	N/A	\$1,001 - \$15,000		\$201 - \$1,000
7	SKM Revocable Living Trust	No			
7.1	Money Market - U.S. Brokerage Account (Cash)	N/A	\$100,001 - \$250,000		
7.2	American Funds Developing World	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
7.3	American Funds International Growth	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7.4	American Funds AMCAP Fund	Yes	\$100,001 - \$250,000		\$201 - \$1,000
7.5	American Funds Global Balanced A	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
7.6	American Mutual Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7.7	American Funds Capital World G/I A	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
7.8	American Funds EuroPacific Gr A	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
7.9	American Funds Growth Fund of Amer A	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
7.10	American Funds New Perspective A	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
7.11	American Funds New World Fund	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.12	American Funds SMALLCAP World A	Yes	\$100,001 - \$250,000		\$201 - \$1,000
7.13	American Funds Washington Mutual A	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
7.14	US Treasury Bd 1.75% Due 1/15/28	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
8	AKM Revocable Living Trust	No			
8.1	Petro Riv Oil Corp	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.2	American Funds International Growth	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
8.3	Amazon Com	N/A	\$250,001 - \$500,000		None (or less than \$201)
8.4	American Funds AMCAP A	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
8.5	American Funds Global Balanced A	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
8.6	American Mutual Fd A	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
8.7	Amazon (AMZN), Call Option	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.8	America Funds Capital Income Builder	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
8.9	American Funds Capital World G/I A	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
8.10	Capital World Bond Fd	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.11	Facebook, Inc. - Class A Common Stock	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.12	American Funds Growth Fund of Amer A	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
8.13	JPMorgan Large Cap Growth A	Yes	\$250,001 - \$500,000		None (or less than \$201)
8.14	American Funds New Perspective A	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
8.15	American Funds New World Fund	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
8.16	Sarapta Therapeutics Inc (SRPT), open position for written put option: 5000 shares, strike price \$18, exp 1/2019 (value not readily ascertainable)	N/A			None (or less than \$201)
8.17	American Funds SMALLCAP World A	Yes	\$250,001 - \$500,000		\$201 - \$1,000
8.18	The New Economy Fd	Yes	\$250,001 - \$500,000		\$201 - \$1,000
8.19	Money Market - U.S. Brokerage Account (Cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.20	Anheuser Busch Inbev	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.21	Apple Inc. - Common Stock	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8.22	Safeway Inc	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.23	Salesforce Com	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.24	ZIOPHARM Oncology Inc - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Iroquois Liquidation Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Pop and Suki Retail Investment (Customized jewelry and accessories)	N/A	\$100,001 - \$250,000		None (or less than \$201)
11	US Bank Account (Cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
12	Yelp	N/A	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Kosmos Energy	Sale	04/04/2018	\$15,001 - \$50,000
2	Facebook, Inc. - Class A Common Stock	Sale	03/26/2018	\$50,001 - \$100,000
3	iShares MSCI Germany Index	Sale	04/04/2018	\$50,001 - \$100,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2016	3.75	30 year
2	Oppenheimer Credit Line	Exercised Line of Credit	\$500,001 - \$1,000,000	2014	3.75	Revolving

9. Gifts and Travel Reimbursements

None

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities 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).
