

## Executive Branch Personnel

### Public Financial Disclosure Report (OGE Form 278e)

#### Filer's Information

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Raza, MARK J

Principal Deputy Associate General Counsel, Department of Health & Human Services

Report Year: 2019

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Raza, MARK J [electronically signed on 06/26/2019 by Raza, MARK J in Integrity.gov] - Filer received a 47 day filing extension.

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Hall, Randall, Certifying Official [electronically signed on 07/12/2019 by Hall, Randall in Integrity.gov]

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Other review conducted by

/s/ Frankel, Rachel, Ethics Official [electronically signed on 07/10/2019 by Frankel, Rachel in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 07/12/2019

Data Revised 07/10/2019

Data Revised 07/09/2019

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(07/10/2019, Frankel, Rachel): Initial review 6/28/19 - RLF

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

None

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

None

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## 3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Schwab IRA Rollover Deposit Account (Cash Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Schwab IRA Rollover Market Growth Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	BlackRock Equity Dividend Inv A	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2	BlackRock Global Allocation Inv A	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3	Capital Income Builder-F2	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4	Capital World Growth and Income Fund	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5	Franklin Growth Fund - Advisor Class	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Franklin Rising Div Fund - Adv C	Yes	\$100,001 - \$250,000		\$201 - \$1,000
7	John Hancock Global Shareholder Yield 1	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8	Goldman Sachs Balanced Inst	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9	Goldman Sachs Gr & Inc Strat Inst	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10	Ivy Mid Cap Growth Fund - Class Y	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11	Invesco Diversified Div Fd - CI Y	Yes	None (or less than \$1,001)		\$201 - \$1,000
12	Templeton Growth Fund, Inc. -Advisor Class	See Endnote	Yes	None (or less than \$1,001)	\$201 - \$1,000
13	The Income Fund of America	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Vanguard Equity Income	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
15	American Funds Cap In Builder 529A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16	American Funds Cap World Gr & Inc 529A	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	American Funds Growth Fund of Amer 529A	Yes	\$50,001 - \$100,000		\$201 - \$1,000
18	American Funds Inc Fund of Amer 529A	Yes	\$1,001 - \$15,000		\$201 - \$1,000
19	American Funds New Perspective 529A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
20	American Funds Small Cap World 529A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
21	Exxon Mobil Corp	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
22	Raytheon Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	Met Life	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	American Electric Power (UGMA)	See Endnote	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
25	US Credit Union (Cash Accounts)	N/A	\$100,001 - \$250,000		None (or less than \$201)
26	US bank account #1 (Cash Account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27	US bank money market account #1 (Cash Account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
28	US bank money market account #2 (Cash Account)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	Vanguard Voyager Select	Yes	\$15,001 - \$50,000		\$201 - \$1,000
30	Vanguard Voyager Select	Yes	\$15,001 - \$50,000		\$201 - \$1,000
31	US bank account #2 (Cash Account)	N/A	\$50,001 - \$100,000		None (or less than \$201)
32	US brokerage deposit account (Cash Account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
33	Invesco Dividend Income Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
34	Vanguard Global Equity	Yes	\$15,001 - \$50,000		\$201 - \$1,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Invesco Dividend Income Fund	Sale	12/19/2018	\$50,001 - \$100,000
2	Invesco Diversified Div Fd - CI Y	Sale	12/19/2018	\$50,001 - \$100,000
3	Templeton Growth Fund, Inc. -Advisor Class	Sale	12/19/2018	\$15,001 - \$50,000
4	Franklin Rising Div Fund - Adv C	Purchase	12/19/2018	\$50,001 - \$100,000
5	Vanguard Equity Income	Purchase	12/19/18	\$15,001 - \$50,000
6	Vanguard Global Equity	Purchase	12/19/18	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	Goldman Sachs Gr & Inc Strat Inst	Sale	01/08/2018	\$15,001 - \$50,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
6.	12	Previously reported as Templeton Global Opps Tr Fund - Advisor CI; reorganized on April 24, 2018.
6.	24	I was not aware of this asset, originally held in UGMA form, until my mother passed away in 2013. It has not yet been converted from UGMA to my ownership.

# 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received 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 in income was received). 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.

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