

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

### Filer's Information

---

**Short, Marc**

Director of Legislative Affairs, White House

Date of Appointment: 01/20/2017

---

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/ Short, Marc T [electronically signed on 02/20/2017 by Short, Marc T 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/ Passantino, Stefan, Certifying Official [electronically signed on 03/30/2017 by Passantino, Stefan in Integrity.gov]**

---

Other review conducted by

**/s/ Schultz, James D, Ethics Official [electronically signed on 03/30/2017 by Schultz, James D in Integrity.gov]**

---

U.S. Office of Government Ethics Certification

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Freedom Partners	Arlington, Virginia	Non-Profit	President	3/2013	3/2016
2	Advance Strategies, LLC	Arlington, Virginia	Corporation	President	2/2016	12/2016

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Freedom Partners	N/A		Salary	\$78,000
2	Advance Strategies, LLC (Government Relations Consulting)	N/A		Salary	\$378,595
3	IRA	No	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
3.1	AMAZON COM INC STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	BLACKHAWK NETWORK HLDGS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.3	CATERPILLAR INC. STOCK	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.4	COCA COLA COMPANY ST	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.5	DEVON ENERGY CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.6	INTERNATIONAL BUSINESS MACHINES	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.7	KINDER MORGAN INC STOCK	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.8	LILLY ELI	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.9	NETFLIX INC STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.10	QUALCOMM INC C	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.11	TESORO CORP. STOCK	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.12	DOMINION MIDSTREAM PARTNERS	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.13	ENTERPRISE PRODUCTS PARTNERS	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
3.14	RIVERFRONT DYNAMIC EQUITY INCOME FUND	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.15	ISHARES TR CORE S&P500 ETF (IVV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.16	ISHARES TR RUSSELL 2000 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.17	ISHARES TR CORE S&P SCP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.18	ISHARES INCORPORATED MSCI SINGPOR ETF (EWF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	ISHARES TR CORE HIGH DV ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.20	POWERSHARES QQQ TRUST UNIT SERIES 1	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.21	SECTOR SPDR TR SBI INT-ENERGY (XLE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4	ROTH IRA	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$1,001 - \$2,500
4.1	APPLE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	FEDERATED CLOVER SMALL VALUE FUND INST SHARES IS N/L (VSFIX)	Yes	\$15,001 - \$50,000		
4.3	FEDERATED INTL STRATEGIC VALUE DIV FD INST SHRS IS	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	FEDERATED STRATEGIC VALUE DIVIDEND FUND INST SHARES IS N (SVAIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.5	ISHARES TR CORE S&P500 ETF (IVV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.6	ISHARES TR CORE HIGH DV ETF (HDV)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

### 3. Filer's Employment Agreements and Arrangements

None

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Advance Strategies, LLC	Arlington, Virginia	Provide government relations and political consulting services to clients
2	Club for Growth	Washington, District of Columbia	Strategic political consulting
3	National Republican Senatorial Committee	Washington, District of Columbia	Strategic political consulting
4	Marco Rubio for President	Washington, District of Columbia	Strategic Political Consulting
5	Susan B. Anthony List	Washington, District of Columbia	Development and government relations consulting
6	Mike Pence for Indiana	Indianapolis, Indiana	Strategic political consulting.
7	General Electric	Washington, District of Columbia	Strategic political consulting

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
8	Mike Pompeo for Congress	Wichita, Kansas	Strategic political consulting
9	Trump for America	New York, New York	Strategic political consulting

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Advance Strategies, LLC (Government relations consulting)	N/A		consulting fees	
2	SEP	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.1	KINDER MORGAN INC STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	ISHARES TR CORE S&P SCP ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	SPDR DJI ETF TRUST (DIA)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	IRA		\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
3.1	FEDERATED EQUITY INCOME FUND CLASS C M/F (LEICX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	FEDERATED STRATEGIC VALUE DIVIDEND FUND CLASS C M/F (SVACX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.3	ISHARES TR SELECT DIVID ETF (DVY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.4	ISHARES TR CORE S&P MCP ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	SPDR SERIES TRUST S&P DIVID ETF (SDY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4	ROTH IRA		\$50,001 - \$100,000	Capital Gains Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	FEDERATED EQUITY INCOME FUND CLASS F M/F (LFEIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.2	FEDERATED STRATEGIC VALUE DIVIDEND FUND INST SHARES IS N (SVAIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.3	LATEEF FUND CLASS I N/L (LIMIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	SPDR S&P 500 ETF TRUST (SPY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.5	LOCORR MANAGED FUTURES STRATEGY FUND CLASS I N/L (LFMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	EQUINOX MUTUALHEDGE FUTURES STRATEGY FUND CLASS I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	JOINT INVESTMENT ACCOUNT	No	\$250,001 - \$500,000	Dividends Capital Gains Interest	\$5,001 - \$15,000
1.1	ABBOTT LABS STOCK	N/A	\$1,001 - \$15,000		\$201 - \$1,000
1.2	APPLE INCORPORATED STOCK	N/A	\$15,001 - \$50,000		\$201 - \$1,000
1.3	BB&T COR	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.4	CHESAPEAKE ENERGY CORPORATION STOCK	N/A	\$1,001 - \$15,000	PURCHASE	
1.5	CONOCOPHILLIPS STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	DANAHER CO	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.7	DISNEY WALT COMP	N/A	\$15,001 - \$50,000		\$201 - \$1,000
1.8	DOMINION RES INC. STOCK	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.9	EBAY INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.10	EXXON MOBIL CORP. STOCK	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.11	FORTIVE CORP. STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Johnson & Johnson STOCK	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.13	PAYPAL HOLDINGS INC STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	Qualys, Inc. - Common Stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.15	ISHARES TR CORE S&P MCP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.16	ISHARES TR CORE S&P SCP	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.17	ISHARES TR CORE HIGH DV ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.18	SPDR S&P 500 ETF TRUST	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.19	SPDR SERIES TRUST S&P DIVID ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.20	Google Inc. - Class A Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.21	Google Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.22	Amazon.com, Inc. - Common Stock	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
1.23	AMERICAN WATER WORKS CO (AWK)	N/A	\$1,001 - \$15,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.24	Becton Dickinson & Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.25	BlackRock Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.26	Boeing Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.27	Capital One Financial	N/A	None (or less than \$1,001)		None (or less than \$201)
1.28	Chevron Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.29	Cisco Systems, Inc. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.30	Facebook, Inc. - Class A Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.31	General Electric Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.32	KRAFT HEINZ COMPANY (KHC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.33	Microsoft Corporation - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.34	Mondelez International, Inc. - Class A Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.35	NIKE Inc B	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.36	PEABODY ENERGY CORP (BTUUQ)	N/A	None (or less than \$1,001)		
1.37	Philip Morris International	N/A	\$1,001 - \$15,000		\$201 - \$1,000
1.38	Rockwell Automation Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.39	Procter & Gamble	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.40	Thermo Fisher Scientific	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.41	Union Pacific Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.42	Visa Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.43	Wells Fargo & Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.44	BP PLC ADR (BP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.45	NESTLE SA ADR (NSRGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.46	iShares Core MSCI Emerging Markets ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.47	iShares Barclays 1-3 Year Credit Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.48	ISHARES TR CORE S&P US ETF (IUSG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.49	iShares Barclays Intermediate Credit Bd	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.50	VANGUARD REIT ETF (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.51	VANGUARD SMALL CAP ETF (VB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.52	Medtronic Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.53	NXP Semiconductors N.V. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.54	Schlumberger Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.55	TE Connectivity Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	INVESTMENT ACCT (Dependent Child)	No	\$15,001 - \$50,000	Dividends Interest	\$201 - \$1,000
2.1	APPLE INC. STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	BB&T CORP STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	CATEPILLAR INC. STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	MCDONALDS CORP. STOCK	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	ISHARES TR CORE S&P500 ETF (IVV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	ISHARES TR CORE HIGH DV ETF (HDV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	INVESTMENT ACCT (Dependent Child)	No	\$15,001 - \$50,000	Dividends Interest	\$201 - \$1,000
3.1	MCDONALDS CORP. STOCK	N/A	None (or less than \$1,001)		None (or less than \$201)
3.2	ISHARES TR CORE S&P500 ETF (IVV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4	INVESTMENT ACCT (Dependent Child)	No	\$15,001 - \$50,000	Dividends Interest	\$201 - \$1,000
4.1	MCDONALDS CORPORATION	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	ISHARES TR CORE S&P500 ETF (IVV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5	SEP	No	\$15,001 - \$50,000	Dividends Capital Gains Interest	\$201 - \$1,000
5.1	ISHARES TR CORE S&P SCP ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	SPDR SERIES TRUST S&P DIVID ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.3	iShares Dow Jones US Financial Services	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.4	SPDR S&P Bank ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6	LOUIS K TIMOLAT TRUST	No	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
6.1	MONEY MARKT DEPOSIT ACCOUNT	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2	ABERDEEN TOTAL RETURN BOND FUND CLASS I	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.3	NUVEEN HIGH YIELD MUNICIPAL BOND FUND CLASS R	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.4	NUVEEN VIRGINIA MUNICIPAL BOND FUND CLASS I	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.5	PUTNAM FLOATING RATE INC FUND 1857	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.6	WELLS FARGO ULTRA SHORT TERM MUNICIPAL INCOME FUND CLASS INST 3107	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.7	ASHMORE EMERGING MARKETS CORPORATE DEBT FUND CLASS-INS	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.8	PIMCO EMERGING MARKETS BOND FUND-INSTL 137	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.9	COMCAST CORP CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.10	HOME DEPOT INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.11	TARGET CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.12	WALT DISNEY CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.13	PROCTOR & GAMBLE CO	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.14	EXXON MOBIL CORP	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.15	JP MORGAN CHASE & CO	N/A	\$100,001 - \$250,000		None (or less than \$201)
6.16	BRISTOL MYERS SQUIBB CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.17	GILEAD SCIENCES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.18	JOHNSON & JOHNSON	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.19	MERCK & CO INC NEW	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.20	EMERSON ELECTRIC CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.21	UNION PACIFIC CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.22	UNITED TECHNOLOGIES CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.23	3M CO COM	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.24	ALPHABET INC CL C	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.25	APPLE INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.26	CISCO SYSTEMS INV	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.27	COGNIZANT TECH SOLTIONS CRP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.28	MICROSOFT CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.29	SCHLUMBERGER LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.30	ABERDEEN EMERGING MARKETS INSTITUTIONAL FUND	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.31	HARBOR INTERNATIONAL FUND CLASS INSTITUTIONAL	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.32	ISHARES MSCI EAFE ETF	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.33	VANGUARD FTSE EMERGING MARKETS ETF	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.34	AQR MANAGED FUTURES STRATEGY FUND	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.35	BLACKROCK GLOBAL LONG/SHORT CREDIT FUND CLASS INS 1833	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.36	BOSTON PARTNERS LONG/SHORT RESEARCH FUND CLASS INS 83	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.37	EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND CLASS I 0088	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.38	THE MERGER FUND CLASS INST 301	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.39	E-TRACS ALERIAN MLP INFRASTRUCTURE ETN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.40	POWERSHARES DB COMMODITY INDEX	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.41	SPDR DJ WILSHIRE INTERNATIONAL REAL ESTATE ETF	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.42	VANGUARD REIT VIPER	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	O/G Royalties		\$15,001 - \$50,000	Rent or Royalties	\$15,001 - \$50,000
8	MARY SUE HOLLADAY TRUST		\$250,001 - \$500,000	Dividends Interest	\$1,001 - \$2,500
8.1	BANK OF AMERICA MONEY MARKET SAVINGS ACCT	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.2	ALTRIA GROUP INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.3	APPLE INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.4	BLACKROCK INC CLA	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.5	BOEING CO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.6	CAPITAL ONE FINL CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.7	CHEVRON CORP	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
8.8	CISCO SYS INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.9	DISNEY WALT CO COM DISNEY	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.10	EXXON MOBIL	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
8.11	FACEBOOK INC CLA COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.12	GENERAL ELECTRIC CO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.13	INTERNATIONAL BUSINESS MACHINES	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
8.14	JP MORGAN CHASE	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.15	JOHNSON & JOHNSON	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.16	KRAFT HEINZ CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.17	LOCKHEED MARTIN CORP	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
8.18	MASTERCARD INC CLA COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.19	MICROSOFT CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.20	MONDELEZ INTL INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.21	MONSANTO CO NEW COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.22	OCCIDENTAL PETE CORP DEL	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.23	PHILIP MORRIS INTL INC	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.24	PROCTER & GAMBLE CO	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.25	SCHLUMBERGER LTD CURACAO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.26	STARBUCKS CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.27	THERMO FISHER SCIENTIFIC CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.28	VISA INC CLA COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.29	WELLS FARGO & CO NEW COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.30	3M COM	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.31	AMERICAN WTR WKS CO INC NEW COM	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.32	ISHARES RUSSELL MID-CAP GROWTH ETF	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.33	ROCKWELL AUTOMATION INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.34	ISHARES RUSSELL 2000 GROWTH ETF	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.35	BP PLC SPONSORED ADR UK	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
8.36	MEDTRONIC PLC IRELAND	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.37	NESTLE SA SPONSORED ADR SWITZ	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
8.38	ISHARES CORE MSCI EMERGING MKTS ETF	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.39	ISHARES INTERMEDIATE CR BD ETF	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.40	ISHARES 1-3 YR CR BD ETF	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.41	VANGUARD REIT ETF	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.42	Bard C.R. Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Joint Savings Account	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
10	JAMES G. TIMOLAT JR TRUST		\$250,001 - \$500,000	Dividends Capital Gains Interest	\$15,001 - \$50,000
10.1	Google Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2	Google Inc. - Class A Common Stock	N/A	None (or less than \$1,001)		None (or less than \$201)
10.3	Apple Inc. - Common Stock	N/A	\$1,001 - \$15,000		\$201 - \$1,000
10.4	CVS Caremark Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.5	Exxon Mobil Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.6	Intl Business Machines Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.7	Johnson & Johnson	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.8	JPM EQ INC (HLIEX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.9	JPM LARGE CAP GRTH (SEEGX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.10	Norfolk Southern Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.11	Praxair Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.12	Schlumberger Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.13	SPDR S&P 500	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.14	United Technologies Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.15	Walt Disney Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.16	iShares S&P MidCap 400 Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.17	JPM MIDCAP VALUE (FLMVX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.18	ASTON/PICTET INTL (APCTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.19	CAPITAL GROWTH NON US (CNUSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.20	DEUTSCHE MSCI EAF (DBEF)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.21	DODGE & COX INTL (DODFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.22	iShares MSCI EAFE Index	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.23	BROWN ADV JAPAN ALPHA OPP (BAFJX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.24	JPM GLBL RES ENH (JEITX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.25	EQUINOX FDS TR (EQIPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.26	EQUINOX CAMPBELL (EBSI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.27	GATEWAY FD (GTEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.28	PIMCO Unconstrained Bond Inst	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.29	Prudential Absolute Return Bond Z	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.30	DODGE & COX INCOME FUN	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.31	Harbor High-Yield Bond Inv	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
10.32	JPM UNCONSTRAINED DEBT FD	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.33	JPM INTER TAX FREE	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.34	JPM TAX AWARE	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.35	JPM SH INT MUNI BND	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.36	DOUBLELINE TOT RTN BOND	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.37	MFS EMERG MKTS	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	MARIE LEONIE TIMOLAT TRUST		\$250,001 - \$500,000	Dividends Capital Gains Interest	\$2,501 - \$5,000
11.1	Nuveen VA Municipal Bond I	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11.2	T. Rowe Price Tax-Free High Yield	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.3	ASHMORE EMERG MKTS CORP DEBT	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.4	Comcast Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.5	LAS VEGAS SANDS CORP (LVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.6	Target Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.7	TJX Cos Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.8	Walt Disney Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.9	CVS HEALTH CORP (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.10	The Hain Celestial Group, Inc. - Common Stock	N/A	None (or less than \$1,001)		None (or less than \$201)
11.11	AFFILIATED MANAGERS GROUP (AMG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.12	Ameriprise Financial Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.13	Berkshire Hathaway B	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.14	BlackRock Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.15	Citigroup Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.16	CME Group Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.17	JP Morgan Chase & Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.18	PNC Finl Services Group	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.19	Gilead Sciences, Inc. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.20	McKesson Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.21	Merck & Co Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.22	Thermo Fisher Scientific	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.23	Unitedhealth Group Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.24	Boeing Co	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.25	Cummins Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.26	Union Pacific Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.27	Google Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.28	Apple Inc. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.29	Cisco Systems, Inc. - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.30	Cognizant Technology Solutions Corporation - Class A Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.31	Microsoft Corporation - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.32	CELANESE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.33	Monsanto Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.34	DIAGIO PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.35	Eaton Corp plc	N/A	None (or less than \$1,001)		None (or less than \$201)
11.36	MANULIFE FIN CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.37	ROCHE HOLDINGS	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.38	Schlumberger Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.39	SUNCOR ENERGY	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.40	TOTAL SA ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.41	CALVERT SOCIAL FND (CEYIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.42	HARTFORD MIDCAP FUND (HMDYX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.43	Vanguard Russell 2000 Value ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.44	iShares S&P SmallCap 600 Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.45	Touchstone Mid Cap Value Inst	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.46	Aberdeen Emerging Markets Instl	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.47	iShares MSCI EAFE Index	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.48	VANGUARD FTSE EMERG MKT (VWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.49	AQR MANAGED FUTURES (AQMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.50	BLACKROCK GLOBAL LONG SHORT FUND (BGCIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.51	BOSTON PARTNERS LONG SHORT FUND (BPIRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.52	EATON VANCE GLOBAL MACRO (EIGMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.53	NEUBERGER BERMAN LONG SHORT FUND (NLSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.54	ALERIAN MLP FUND (MLPI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.55	T. ROWE PRICE REAL ESTATE FUND (TRREX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.56	VANGUARD REIT VIPER (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.57	VOYA INTL REAL ESTATE FUND (IIRIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.58	United Parcel Service Inc B	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	Richard T. Short Rev Trust		\$500,001 - \$1,000,000	Dividends Capital Gains Interest	\$15,001 - \$50,000
12.1	Walt Disney Co	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.2	Home Depot Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.3	Altria Group Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.4	KRAFT HEINZ GROUP (KHC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.5	Philip Morris International	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.6	Chevron Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.7	EOG Resources	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.8	Phillips 66	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.9	BlackRock Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.10	Capital One Financial	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.11	SunTrust Banks Inc (GA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.12	WELLS FARGO (WFI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.13	Celgene Corporation - Common Stock	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
12.14	Johnson & Johnson	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
12.15	Pfizer Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.16	Thermo Fisher Scientific	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.17	General Electric Co	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.18	Honeywell Intl Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.19	Rockwell Automation Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.20	Apple Inc. - Common Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.21	Hewlett-Packard Co	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
12.22	HP INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.23	Intel Corporation - Common Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.24	Intl Business Machines Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12.25	Visa Inc	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
12.26	iShares S&P 500 Index	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.27	iShares Dow Jones US Aerospace & Defense	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.28	BP PLC	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
12.29	ROYAL BANK OF MONTREAL (RY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.30	Medtronic Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
12.31	iShares Core MSCI Emerging Markets ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.32	iShares Barclays Intermediate Credit Bd	Yes	\$50,001 - \$100,000		\$201 - \$1,000
12.33	GENERAL MOTORS CORP 8.375% 7/15/33	N/A	None (or less than \$1,001)		None (or less than \$201)

## 7. Transactions

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

---

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	NELNET	Student Loan	\$15,001 - \$50,000	2002	0.0175	30 years
2	American Express	Credit Card	\$10,001 - \$15,000			

## 9. Gifts and Travel Reimbursements

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

---

## 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 \$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).

---