

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

### Filer's Information

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Castellano, Lucia

Senior Advisor, sba

Date of Appointment: 01/30/2017

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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/ Lucia Castellano [electronically signed by Lucia Castellano on 2017-03-23 16:56:38 in FOnline]**

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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/ Marilyn Barnes, Super Administrator [electronically signed by Marilyn Barnes on 2017-03-23 18:38:59 in FOnline]**

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Other review conducted by:

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U.S. Office of Government Ethics Certification

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

#	NAME	CITY, STATE	ORG TYPE	POSITION	FROM	TO
1	Motivate International, Inc.	Brooklyn, NY, US	Transportation	HR Director	11/13/2014	05/20/2016
2	Donald J. Trump for President, Inc.	New York, NY, US	Presidential Campaign	HR Director	06/13/2016	01/31/2017

## 2. Filer's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(Stock) AAPL APPLE INC.	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	(Stock) AGN ALLERGAN PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	(Stock) CVE CENOVUS ENERGY INC.	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	(Stock) ESRX EXPRESS SCRIPTS HOLDING CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	(Stock) FTS FORTIS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	(Stock) MRK MERCK & CO INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	(Stock) PG PROCTER & GAMBLE CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	(Stock) TGT TARGET CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	(Stock) TOT TOTAL S A SONSORED ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	(Stock) FRDPX FRANKLIN RISING DIVIDENDS FUND CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
					None (or less than \$201)

11	(Stock) FKGRX FRANKLIN GROWTH CL A	N/A	\$15,001 - \$50,000		\$201)
12	(Stock) FRSGX FRANKLIN SMALL-MID CAP GROWTH FUND CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
13	(Stock) FKBAX FRANKLIN TOTAL RETURN FUND CL A	N/A	\$50,001 - \$100,000		None (or less than \$201)
14	(Stock) FKUSX FRANKLIN US GOVERNMENT SECURITIES FUND CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
15	(Stock) TEMFX TEMPLETON FOREIGN FUND CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
16	(Stock) TEMGX TEMPLETON GLOBAL SMALLER COMPANIES FUND CL A	N/A	\$1,001 - \$15,000	Capital Gains	\$5,001 - \$15,000
17	(Stock) ICPAX WILLISTON BASIN MID NORTH AMERICA STOCK FUND CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
18	(Stock) IWF ISHARES RUSSELL 1000 GROWTH FUND	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	(Stock) IWD ISHARES RUSSELL 1000 VALUE FUND	N/A	\$15,001 - \$50,000		None (or less than \$201)
20	(Stock) EFA ISHARES MSCI EAFE FUND	N/A	\$15,001 - \$50,000		None (or less than \$201)
21	(Stock) SCZ ISHARES MSCI EAFE SMALL CAP FD	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	(Stock) VB VANGUARD INDEX TRUST VANGUARD SMALL CAP ETF	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	(Stock) BND VANGUARD TOTAL BD MARKET ETF	N/A	\$15,001 - \$50,000		None (or less than \$201)
24	(Stock) VOE VANGUARD INDEX TR MID CAP VALUE INDEX VIPER SHS	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	(Stock) AGG ISHARES CORE US AGGREGATE BOND	N/A	\$15,001 - \$50,000		None (or less than \$201)
26	(Stock) MGOYX VICTORY MUNDER MID CAP CORE GROWTH FUND CL Y	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	(Stock) TGVIX THORNBURG INTERNATIONAL VALUE FUND CL I	N/A	\$1,001 - \$15,000		None (or less than \$201)
28	(Stock) PRXEX T ROWE PRICE NEW INCOME FUND CL 1	N/A	\$15,001 - \$50,000		None (or less than \$201)

29	(Stock) LSGNX LOOMIS SAYLES GLOBAL BOND CLASS N	N/A	\$1,001 - \$15,000		None (or less than \$201)
30	(Stock) JENIX JENSEN QUALITY GROWTH FUND CL	N/A	\$15,001 - \$50,000		None (or less than \$201)
31	(Stock) HAINX HARBOR INTERNATIONAL FUND INSITUTIONAL CL	N/A	\$15,001 - \$50,000		None (or less than \$201)
32	(Stock) EGFIX ADVISORS INNER CIRCLE EDGEWOOD GROWTH FUND INSTITUTIONAL CL	N/A	\$1,001 - \$15,000		None (or less than \$201)
33	(Stock) NSVAX COLUMBIA SMALL CAP VALUE FUND II CL Z	N/A	\$1,001 - \$15,000		None (or less than \$201)
34	(Stock) EISMX EATON VANCE ATLANTA CAP SMID CAP FUND	N/A	\$1,001 - \$15,000		None (or less than \$201)
35	(Stock) EIBIX EATON VANCE INCOME FUND OF BOSTON CL I	N/A	\$1,001 - \$15,000		None (or less than \$201)
36	(Stock) MUTHX FRANKLIN MUTUAL SHARES FUND CL Z	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	(Stock) FGTXX GOLDMAN SACHS FINANCIAL SQUARE GOVERNMENT FUND INSTL CL	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	(Stock) FINFX FUNDAMENTAL INVESTORS FUND CL F2	N/A	\$15,001 - \$50,000		None (or less than \$201)
39	(Stock) IDST INVESCO INTERNATIONAL DIVCIDEND SUSTAINABILITY QRTLTY REINVES	N/A	\$1,001 - \$15,000		\$5,001 - \$15,000
40	(Stock) JPM JP Morgan Chase	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
41	(Bond) Invesco Build America Bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
42	(Annuity) Prudential Premier Retirement new york, NY, US	N/A			
42.1	(Mutual Fund) PRUPREMRETNY-PRUDENTIAL PREMIER RETIREMENT	Yes	\$250,001 - \$500,000		\$100,001 - \$1,000,000

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

#	EMPLOYER OR OTHER PARTY TO AGREEMENT/ARRANGEMENT	CITY, STATE	STATUS AND TERMS	DATE
1	JP Morgan	new york, NY, US	Restricted stock which was given as part of my annual bonuses. I am fully vested, but not sure of the exact date as it might have been two awards.	01 /2010

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

#	SOURCE	DESCRIPTION
1	MOTIVATE INTERNATIONAL INC.; BROOKLYN, NY, US	HR DIRECTOR
2	DONALD J. TRUMP FOR PRESIDENT INC.; NEW YORK, NY, US	HR DIRECTOR

#### 5. Spouse's Employment Assets and Income

None

#### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(Cash Deposit/Savings) JPMorgan Chase new york, NY, US checking	N /A	\$50,001 - \$100,000	Interest	None (or less than \$201)
2	(Cash Deposit/Savings) Amex Bank new york, NY, US savings	N /A	\$1,001 - \$15,000	Interest	None (or less than \$201)
3	(IRE) Florida Condo pompano beach, FL, US	N /A	\$100,001 - \$250,000		None (or less than \$201)
		N		Rent or	

4	(IRE) My home where I live brooklyn, NY, US	/A	Over \$1,000,000*	Royalties	\$50,001 - \$100,000
5	(Self EI) Motivate International, inc. salary for 2015 and 5 months in 2016 Brooklyn, NY, US	N /A		Salary	\$159,440.00
6	(Self EI) Donald J. Trump for President, Inc. salary from June 13, 2016 to January 31, 2017 new york, NY, US	N /A		Salary	\$78,384.56

## 7. Transactions

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

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## 8. Liabilities

None

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## 9. Gifts and Reimbursements

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

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## Endnotes

PART	#	ENDNOTE
2	10	MUTUAL FUND
2	11	MUTUAL FUNDS
2	12	MUTUAL FUNDS
2	13	MUTUAL FUNDS
2	14	MUTUAL FUNDS
2	15	MUTUAL FUNDS
2	17	MUTUAL FUNDS
2	28	MUTUAL FUNDS
2	29	MUTUAL FUNDS
2	30	MUTUAL FUNDS
2	31	MUTUAL FUND
2	32	MUTUAL FUNDS
2	33	MUTUAL FUNDS
2	34	MUTUAL FUND
2	35	MUTUAL FUNDS
2	36	MUTUAL FUNDS
2	37	MUTUAL FUNDS
2	38	MUTUAL FUNDS
2	40	Restricted stock was given as part of my annual bonus at JPMorgan when I was employed there, not sure of the actual amount at this time, but it pays dividend of 160 quarterly.....requested reinvestment of those dividends.
2	42	variable annuities
2	42.1	MY retirement account from JPMorgan was moved to Edward jones into this annuity and will remain for a min of 5 years. It is an IRA. Funds are allocated as follows: SEC VAL ACCT 25,522.36 and AST ADV STRAT 237,294.46
6	1	checking, savings

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6	2	savings
6	4	I live in this home and have 5 tenants, one is my mom and the other 4 are renters.

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## 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 and Income

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 and Income

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).

## **Reviewer Comments and Submission History for Lucia Castellano**

03/23/2017 16:56:38

Filing submitted

03/01/2017 09:55:34

Filing submitted