

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

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Finance**
-

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 02/23/2017 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 05/11/2017 by Horton, Elizabeth A in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 05/18/2017 by Apol, David in Integrity.gov]

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	Present
2	Meridian International Center	Washington, District of Columbia	Non-Profit	Board of Trustees	7/2013	Present
3	Randolph-Macon College	Ashland, Virginia	University/College	Trustee	10/2010	Present
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	Present
7	U.S. Chamber of Commerce	Washington, District of Columbia	Non-Profit	Member of Public Affairs Committee	1/2015	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Hess Corporation stock	N/A	\$250,001 - \$500,000		None (or less than \$201)
2	Hess Corporation, unvested performance share units	N/A	\$250,001 - \$500,000		None (or less than \$201)
3	American Funds International Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Blackrock US Oppty	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Fidelity Invest Emerging Market	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	American Funds The Growth Fund of America	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
7	American Funds New Perspective Fund	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
8	American Funds Investment Company of America	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9	American Funds AMCAP Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10	American Funds New World Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	American Funds SMALLCAP World Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
12	American Funds The New Economy Fund	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
13	Touchstone Value	Yes	\$50,001 - \$100,000		None (or less than \$201)
14	Vanguard Small Cap	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	Vanguard Developing Markets	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
16	William Blair Intl Small Cap	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	Lazard Emerging Markets	Yes	\$15,001 - \$50,000		None (or less than \$201)
18	Vanguard Total Bond Market Index Admiral Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
19	Western Asset Inflation Index	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	Hess Corporation- 2016 Bonus	N/A		Bonus for 2016	\$364,700
21	Hess Corporation	N/A		Salary	\$650,000
22	Hess Corp (Anticipated Severance Payment)	N/A	\$250,001 - \$500,000		None (or less than \$201)
23	Hess Corp. (Anticipated pro-rata bonus for 2017)	N/A	\$50,001 - \$100,000		None (or less than \$201)
24	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)
25	Hess Corporation Defined Benefit Plan (Value not readily ascertainable): eligible for \$1,410/mo. at age 65	N/A			None (or less than \$201)
26	Hess Corporation (Anticipated Pro-Rata Long Term Incentive Grant for 2017)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27	Hess Corporation Restricted Stock Unvested	N/A	\$100,001 - \$250,000		None (or less than \$201)
28	Hess Corporation, restricted stock	N/A	None (or less than \$1,001)	Cash Payment	\$164,000
29	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)
30	Hess Corporation- 2015 Bonus	N/A		Bonus for 2015	\$332,200

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Hess Corporation	Washington, District of Columbia	Pursuant to the company's standard policy for departing executives, upon separation, I will forfeit the unvested restricted stock. I will receive a payment that is calculated based on a pro-rated share of my unvested restricted stock at the time of my separation.	3/2015

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	Hess Corporation	Washington, District of Columbia	Pursuant to the company's standard policy for departing executives, I am entitled to a severance payment. The severance payment will be paid prior to assuming duties of Assistant Secretary.	12/2012
3	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
4	Hess Corporation	Washington, District of Columbia	Pursuant to the company's standard policy for departing executives, I will receive a pro-rated performance-based bonus for services rendered in 2017 up to the date of my departure from the company. The bonus will be paid prior to assuming duties of Assistant Secretary.	12/2012
5	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
6	Hess Corporation	Washington, District of Columbia	Pursuant to the company's standard policy for departing executives, I will receive a payment for a pro-rata share of the Long-Term Incentive Grant for services rendered in 2017 up to the date of my departure from the company. The payment will be paid prior to assuming duties of Assistant Secretary.	12/2012
7	Hess Corporation	Washington, District of Columbia	Pursuant to the company's standard policy for departing executives, upon separation, I will forfeit the performance share units. I will receive a payment that is calculated based on a pro-rated share of my performance share units at the time of my separation. The payment will be paid prior to assuming duties of Assistant Secretary.	3/2015
8	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
9	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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Hess Corporation	New York, New York	Compensation for services as Vice President

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Johns Hopkins University	N/A		salary	
2	University of Rochester - November 18, 2016	N/A		Honorarium	\$250
3	Stanford Univesity - November 29, 2016	N/A		Honorarium	\$250
4	University of Vermont - October 7, 2016	N/A		Honorarium	\$250
5	National Institute of Health	N/A		consulting fees	
6	American Funds Intl Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Capital World Growth and Income	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
8	Growth Fund of America	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
9	Fidelity Growth Discovery	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
10	Fidelity Capital Appreciation	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
11	Rocky Mountain Laboratories, National Institute of Allergy and Infectious Diseases, Hamilton, MT - June 9, 2016			Honorarium	\$250
12	Max Planck Institute for Infection Biology, Berlin, Germany - March 22, 2016			Honorarium	\$250
13	Heinrich Pette Institute, Leibniz Institute for Experimental Virology, Hamburg, Germany - March 21, 2016			Honorarium	\$250

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Visiting Pulmonary Scholars Lecturer, UNC, NIEHS, DUKE, EPA, and NC State, Research Triangle, North Carolina - March 7, 2017			Honorarium	\$250
15	"Seasonal Patterns of Stress, Immune Function and Disease", Cambridge University Press, (value not readily ascertainable)	N/A			None (or less than \$201)
16	"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)
17	"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	Carlyle Ireland Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	UBS Money Market - U.S. Brokerage Account (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Cinven Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Alphakeys European Real Estate Opportunities Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	Madison Dearborn Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Alphakeys Real Estate Opportunity Fund IV	Yes	\$250,001 - \$500,000		None (or less than \$201)
7	Blackstone Strategic Alliance Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	UBS Money Market - U.S. Brokerage Account (Cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
9	DC1 529	No			
9.1	American Funds AMCAP Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.2	American Funds EuroPacific Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.3	American Funds The Growth Fund of America	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.4	American Funds The New Economy Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.5	American Funds New Perspective Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
10	DC2 529	No			
10.1	American Funds AMCAP Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.2	American Funds EuroPacific Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.3	American Funds The Growth Fund of America	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.4	American Funds The New Economy Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.5	American Funds New Perspective Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
11	US TIP 2028	N/A	\$1,001 - \$15,000		\$201 - \$1,000
12	SKM Revocable Living Trust	No			
12.1	Money Market - U.S. Brokerage Account (Cash)	N/A	\$1,001 - \$15,000		
12.2	American Funds Developing World	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.3	American Funds International Growth	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
12.4	American Funds AMCAP Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
12.5	American Funds Global Balanced A	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
12.6	American Mutual Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
12.7	American Funds Capital World G/I A	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
12.8	American Funds EuroPacific Gr A	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12.9	American Funds Growth Fund of Amer A	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
12.10	JP Morgan Large Cap Growth	Yes	\$100,001 - \$250,000		None (or less than \$201)
12.11	American Funds New Perspective A	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12.12	American Funds New World Fund	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
12.13	American Funds SMALLCAP World A	Yes	\$100,001 - \$250,000		\$201 - \$1,000
12.14	American Funds Washington Mutual A	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
12.15	US Treasury Bd 1.75% Due 1/15/28	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
13	AKM Revocable Living Trust	No			
13.1	Petro Riv Oil Corp	N/A	\$100,001 - \$250,000		None (or less than \$201)
13.2	American Funds International Growth	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.3	Amazon Com	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.4	American Funds AMCAP A	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
13.5	American Funds Global Balanced A	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
13.6	American Mutual Fd A	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
13.7	Apple (AAPL), Put Option	N/A	\$100,001 - \$250,000		None (or less than \$201)
13.8	Amazon Com (AMZN) open position for written call option: 100 shares, strike price \$1100, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.9	Amazon Com (AMZN), Call Option	N/A	\$100,001 - \$250,000		None (or less than \$201)
13.10	Amazon (AMZN), Call Option	N/A	\$100,001 - \$250,000		None (or less than \$201)
13.11	Bank of America (BAC), Call Option	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.12	Facebook Inc (FB) open position for written call option: 1000 shares, strike price \$160, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.13	Halliburton Company (HAL), Call Option	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.14	Halliburton Company (HAL), Call Option	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.15	Kosmos Energy (KOS) open position for written call option: 5000 shares, strike price \$7.50, exp 4/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.16	Newfield Exploration Co.(NFX), Call Option	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.17	SPDR S&P 500 ETF (SPY), closed position for written call option, 1000 shares, strike \$234, exp 2/2017	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.18	SPDR S&P 500 ETF (SPY) open position for written call option: 2000 shares, strike price \$260, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.19	SPDR S&P 500 ETF (SPY), closed position for written call option, 2000 shares, strike \$240, exp 6/2017	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
13.20	SPDR S&P 500 ETF (SPY) open position for written call option: 1000 shares, strike price \$245, exp 6/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.21	SPDR S&P 500 ETF (SPY), closed position for written call option, 1000 shares, strike \$235, exp 3/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.22	Zions Bancorp (ZION), Call Option	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.23	America Funds Capital Income Builder	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
13.24	American Funds Capital World G/I A	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
13.25	Capital World Bond Fd	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.26	Facebook, Inc. - Class A Common Stock	N/A	\$250,001 - \$500,000		None (or less than \$201)
13.27	American Funds Growth Fund of Amer A	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
13.28	JPMorgan Large Cap Growth A	Yes	\$250,001 - \$500,000		None (or less than \$201)
13.29	Kosmos Energy LTD	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.30	American Funds New Perspective A	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.31	American Funds New World Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
13.32	Apple Inc (AAPL), open position for written put option: 3000 shares, strike \$50, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.33	AK STL Hldg Corp (AKS), open position for written put option: 10,000 shares, strike price \$2, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.34	Amazon Com (AMZN) open position for written put option: 500 shares, strike price \$350, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.35	Bank of America (BAC), open position for written put option: 10,000 shares, strike price \$8, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.36	Chesapeake Energy (CHK), open position for written put option: 10,000 shares, strike price \$.50, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.37	Chesapeake Energy (CHK), open position for written put option: 10,000 shares, strike price \$1.00, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.38	Continental Resources (CLR), open position for written put option: 7000 shares, strike price \$15, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.39	Concho Res Inc (CXO), open position for written put option: 1000 shares, strike price \$100, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.40	Caesars Entmt Corp (CZR), open position for written put option: 10,000 shares, strike price \$3, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.41	Freeport-McMoran (FCX), open position for written put option: 7000 shares, strike price \$3, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.42	Kinder Morgan Inc Del (KMI) open position for written put option: 3000 shares, strike price \$12.50, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.43	Kosmos Energy (KOS) open position for written put option: 10,000 shares, strike price \$5, exp 4/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.44	Laredo Petroleum Inc. (LPI), open position for written put option: 10,000 shares, strike price \$7, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.45	Marathon Oil Corp (MRO), open position for written put option: 4000 shares, strike price \$10, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.46	Marathon Oil Corp (MRO), open position for written put option: 10,000 shares, strike price \$8, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.47	Micron Technology Inc (MU), open position for written put option: 5000 shares, strike price \$8, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.48	Nvidia Corp (NVDA), open position for written put option: 5000 shares, strike price \$50, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.49	Sprint Corp (S), open position for written put option: 10,000 shares, strike price \$3.50, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.50	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$188, exp 4/2017 (value not readily ascertainable)	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.51	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$197, exp 4/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.52	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$198, exp 4/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.53	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$199, exp 4/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.54	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$209, exp 4/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.55	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$179, exp 2/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.56	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$180, exp 2/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.57	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$182, exp 2/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.58	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$209, exp 2/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.59	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$210, exp 2/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.60	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$212, exp 2/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.61	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$213, exp 2/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.62	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$216, exp 2/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.63	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$100, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.64	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$145, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.65	SPDR S&P 500 ETF (SPY), open position for written put option: 2000 shares, strike price \$160, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.66	SPDR S&P 500 ETF (SPY), open position for written put option: 2000 shares, strike price \$170, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.67	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$180, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.68	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$155, exp 6/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.69	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$175, exp 6/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.70	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$185, exp 6/16/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.71	SPDR S&P 500 ETC (SPY), open position for written put option: 1000 shares, strike price \$185, exp 6/30/2017 (value not readily ascertainable)	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.72	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$190, exp 6/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.73	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$125, exp 3/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.74	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$173, exp 3/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.75	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$199, exp 3/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.76	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$205, exp 3/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.77	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$207, exp 3/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.78	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$211, exp 3/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.79	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$198, exp 5/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.80	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$199, exp 5/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.81	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$200, exp 5/2017 (value not readily ascertainable)	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.82	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$155, exp 9/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.83	SPDR S&P 500 ETF (SPY), open position for written put option: 1000 shares, strike price \$175, exp 9/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.84	Sarapta Therapeutics Inc (SRPT), open position for written put option: 5000 shares, strike price \$10, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.85	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)
13.86	Sarapta Therapeutics Inc (SRPT), open position for written put option: 5000 shares, strike price \$8, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.87	Terex Corp (TEX), open position for written put option: 2000 shares, strike price \$27, exp 7/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.88	Whiting Petroleum Corp (WLL), open position for written put option: 10,000 shares, strike price \$5, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.89	United States Stl Corp (X), open position for written put option: 3000 shares, strike price \$10, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.90	Intrexon Corp (XON2), open position for written put option, 3000 shares, strike \$15, exp 1/2018	N/A	None (or less than \$1,001)		None (or less than \$201)
13.91	YELP Inc (YELP), closed position for written put option, 5000 shares, strike \$25, exp 1/2017	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.92	American Funds SMALLCAP World A	Yes	\$100,001 - \$250,000		\$201 - \$1,000
13.93	The New Economy Fd	Yes	\$100,001 - \$250,000		\$201 - \$1,000
13.94	United Bankshares, Inc. - Common Stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13.95	Money Market - U.S. Brokerage Account (Cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
13.96	Alibaba Group Holdings	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.97	Anheuser Busch Inbev	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.98	Apple Inc. - Common Stock	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
13.99	Aquabounty Technologies	N/A	None (or less than \$1,001)		None (or less than \$201)
13.100	Baker Hughes Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.101	BB&T Corp	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
13.102	Cabelas Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.103	Apple Inc (AAPL), open position for written call option: 900 shares, strike \$135, exp 6/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.104	Alibaba Group Hldg (BABA), open position for written call option: 600 shares, strike \$135, exp 1/2018 (value not readily ascertainable)	N/A			None (or less than \$201)
13.105	BB&T Corp (BBT), open position for written call option: 1500 shares, strike price \$50, exp 6/2017 (value not readily ascertainable)	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.106	Baker Hughes Inc (BHI), open position for written call option: 600 shares, strike price \$65, exp 4/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.107	Anheuser Busch (BUD) open position for written call option: 300 shares, strike price \$125, exp 9/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.108	Cabelas Inc (CAB) open position for written call option: 100 shares, strike price \$55, exp 3/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.109	Cigna Corporation (CI) open position for written call option: 500 shares, strike price \$155, exp 3/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.110	Salesforce Com Inc (CRM) open position for written call option: 500 shares, strike price \$90, exp 6/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.111	Cypress Semiconductor (CY) open position for written call option: 2000 shares, strike price \$13, exp 9/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.112	General Electric (GE) open position for written call option: 1500 shares, strike price \$31, exp 4/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.113	Huntington Bancshares Inc (HBAN) open position for written call option: 2000 shares, strike price \$15, exp 7/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.114	Kellogg Co (K) open position for written call option: 400 shares, strike price \$80, exp 9/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.115	Keycorp New (KEY) open position for written call option: 2000 shares, strike price \$20, exp 6/2017 (value not readily ascertainable)	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.116	Lowes Cos Inc (LOW) open position for written call option: 500 shares, strike price \$77.50, exp 4/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.117	Oracle Corp (ORCL) open position for written call option: 1000 shares, strike price \$41, exp 4/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.118	SPDR S&P 500 ETF (SPY), closed position for written call option, 1000 shares, strike \$234, exp 2/2017	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
13.119	Intrexon Corp (XON) open position for written call option: 1000 shares, strike price \$33, exp 7/2017 (value not readily ascertainable)	N/A			None (or less than \$201)
13.120	Cigna Corporation	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.121	Cypress Semiconductor Corporation - Common Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.122	General Electric Co	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
13.123	Hartford Financial Services	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.124	Huntington Bancshares Incorporated - Common Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.125	Intrexon Corp	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.126	JP Morgan Chase & Co	N/A	\$50,001 - \$100,000		None (or less than \$201)
13.127	Kellogg Co	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.128	Keycorp New	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.129	Lowes	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.130	Oppenheimer Holdings Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.131	Oracle Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13.132	SPDR S&P 500 ETF (SPY), closed position for written put option, 1000 shares, strike \$213, exp 2/2017	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13.133	Safeway Inc	N/A	\$1,001 - \$15,000		\$201 - \$1,000
13.134	Salesforce Com	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.135	ZIOPHARM Oncology Inc - Common Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	Iroquois Liquidation Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	Pop and Suki Retail Investment (Customized jewelry and accessories)	N/A	\$100,001 - \$250,000		None (or less than \$201)
16	US Bank Account (Cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
17	Carlyle Energy Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Greenhill Capital Partners	Yes	\$50,001 - \$100,000		None (or less than \$201)
19	Lightyear Fund II	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	Southeast Land Company	No	\$50,001 - \$100,000		None (or less than \$201)
20.1	- commercial real estate, Boone, NC	N/A	\$15,001 - \$50,000		None (or less than \$201)
20.2	- commercial real estate, Fayetteville, GA	N/A	\$1,001 - \$15,000		None (or less than \$201)
20.3	- commercial real estate, Charleston, SC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	Yelp	N/A	\$1,001 - \$15,000		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	Chase	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2016	3.75	30 year
2	Citizens One	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2014	4.375	30 year
3	Oppenheimer Credit Line	Exercised Line of Credit	Over \$1,000,000	2014	3.75	Revolving

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.

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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.

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