

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

Filer's Information

Kalavritinos, John C

Associate Commissioner for External Affairs, FDA, Department of Health & Human Services

Date of Appointment: 03/19/2017

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/ Kalavritinos, John C [electronically signed on 01/20/2017 by Kalavritinos, John C 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/ Olesh, Stanley, Certifying Official [electronically signed on 05/19/2017 by Olesh, Stanley in Integrity.gov]

Other review conducted by

/s/ Olesh, Stanley, Ethics Official [electronically signed on 05/19/2017 by Olesh, Stanley in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/19/2017

Data Revised 04/13/2017

Data Revised 04/07/2017

Data Revised 04/06/2017

Data Revised 04/03/2017

Data Revised 03/22/2017

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(03/22/2017, Olesh, Stanley): IR = 1/24/17 by RH
N/A	N/A	General	(03/22/2017, Olesh, Stanley): 3/18/17 -- OK'd draft Ethics Agreement -- SO

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO	
1	ACE Mentor Program of America	Rockville, Maryland	Non-Profit	CEO	2/2015	10/2016	
2	Covidien/Medtronic	Washington DC, District of Columbia	Corporation	Director, Govnt Affairs	11/2007	1/2015	
3	Presidential Transition	Washington, District of Columbia	Presidential Transition	Lead, Dept of Education	12/2016	1/2017	
4	the Winston-Salem Review	See Endnote	Winston-Salem, North Carolina	Tax exempt student publication	Member of the Board of Directors	1/2017	4/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ACE Mentor Program of America	N/A		Salary	\$270,000
1.1	Severance	N/A		6 month severance package	\$45,000
2	IRA - Fidelity Puritan	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	Covidien 401k				
3.1	Columbia acorn international z	Yes	None (or less than \$1,001)		None (or less than \$201)
3.2	Fidelity Sptn Ext Mkt IDX Adv	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	T. Rowe Price Blue Chip Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.4	BlackRock LifePath 2030 R	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.5	Stephens Small Cp Gro Strategy	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	ACEC 401k				
4.1	American funds	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	American Funds Washington Mutual R6	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	Prudential Jennison Growth Z	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	Vanguard Institutional Index Instl	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	American Funds American Balance	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Covidien/Medtronic	See Endnote	No	\$15,001 - \$50,000	\$45,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	ACE Mentor Program	Rockville, Maryland	Filer received 6 month severance which ends on March 31, 2017. Income reported in Section 2	10/2016
2	Covidien/Medtronic	Washington, District of Columbia	Filer will retain the assets contained in his defined contribution account. Neither he nor his former employer will make contributions into this account during his appointment.	2/2015
3	ACE Mentor Program of America	Rockville, Maryland	Filer will retain the assets contained in his defined contribution account. Neither he nor his former employer will make contributions into this account during his appointment	10/2016

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	ACE Mentor Program of America	Rockville, Maryland	Served as CEO providing leadership and management to this non-profit organization.
2	Covidien	Wash, District of Columbia	Director of Govnt affairs, representing the company on matters related to its healthcare business in Washington and providing advice to company leaders and managers.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Accenture 401k				
1.1	Vanguard Instl 500 Index	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.2	Fidelity Contrafund (FCNTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	Morgan Stanley Traditional IRA				
2.1	Cash Account	N/A	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	UBS Financial				
1.1	ALGER SPECTRA FUND CLASS Z	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	AMG MANAGERS SKYLINE SPECIAL EQUITIES FUND CLASS S	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3	COHEN & STEERS REALTY SHARES	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	COLUMBIA DIVIDEND OPPORTUNITY FUND CLASS Z	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	DREYFUS INTERNATIONAL STOCK CLASS I	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.6	FRANKLIN RISING DIVIDENDS FUND ADVISOR CLA	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	GABELLI EQUITY INCOME FUND CLASS I	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	JOHN HANCOCK DISCIPLINED VALUE MID CAP FUND CLASS I	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.9	OAK RIDGE SMALL CAP GROWTH FUND CLASS I	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.10	OPPENHEIMER DEVELOPING MARKETS CLASS Y	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.11	PARNASSUS ENDEAVOR FUND INVESTOR	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	PRINCIPAL MIDCAP FUND CLASS P	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.13	THE GROWTH FUND OF AMERICA FUND CLASS F2	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.14	VOYA CORPORATE LEADERS TRUST SERIES B	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.15	DELAWARE DIVERSIFIED INCOME I	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.16	DEUTSCHE FLOATING RATE FUND CLASS S	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.17	LOOMIS SAYLES STRATEGIC INCOME FUND CLASS Y	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.18	PIONEER STRATEGIC INCOME Y	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.19	FIRST EAGLE GLOBAL FUNDS CLASS I		Yes	\$15,001 - \$50,000		None (or less than \$201)
1.20	AMERICA MOVIL S.A.B. DE C.V. SER L SPON ADR		No	\$15,001 - \$50,000		\$5,001 - \$15,000
1.21	Apple Inc. - Common Stock	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
1.22	DIAGEO PLC NEW GB SPON ADR	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
1.23	Intel Corp	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.24	ROYAL DUTCH SHELL PLC CL A SPON ADR	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
2	Checking Account #1		N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Exxon Mobil Corp	See Endnote	No	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
4	TCG BDC Inc., formerly Carlyle GMS Finance Inc		No	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
5	Vanguard UTMA fbo JCK III	See Endnote	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.1	Vanguard Growth Index fund		Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	Vanguard Health Care Fund	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	S&P 500 Index Fund Adm		Yes	\$15,001 - \$50,000		None (or less than \$201)
6	Freedom Bank Common Stock	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
7	Freedom Bank Common Stock	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)
8	Crown Cork & Seal Stock Certificates	See Endnote	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	Vanguard Individual Investment Account	See Endnote			
9.1	Vanguard High Yield Tax Exempt Fund (VWAHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.2	Vanguard 500 Index Fund Admiral Shares	Yes	\$50,001 - \$100,000		None (or less than \$201)
10	T Rowe Price Maryland 529 Educational Savings Plan #1	See Endnote			
10.1	Balance Portfolio	Yes	\$1,001 - \$15,000		
10.2	Portfolio For College	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	T Rowe Price Maryland 529 Education Savings Plan #2	See Endnote			
11.1	Balanced Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	Equity Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.3	Portfolio For College	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	T Rowe Price Maryland 529 Education Savings Plan #3	See Endnote			
13	Portfolio 2021	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	T Rowe Price Maryland 529 Education Savings Plan #4	See Endnote			
14.1	Portfolio 2021	Yes	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	4	Filer resigned from this position 4/7/17 and request his name and title be removed from the website
2.	5	Filer divested all shares of Covidien/Medtronic stock in March 2015. Company erroneously held cash and did not distribute it to the filer until January 25, 2016. No future monies to be received all accounts are closed. Confirmed by filer 4/7/17
6.	1.21	sold 4/12/17
6.	1.22	Value modified, typo by Filer at time of data entry. Supp T 4/3/17 divested pursuant to EA
6.	1.23	sold 4/12/17
6.	1.24	Supp T submitted 4/3/17 Divested pursuant to EA
6.	3	To be divested
6.	5	Spouse owns w/her brother for the benefit of JCK III
6.	5.2	Spouse to divest pursuant to EA
6.	6	(DC JCK III)
6.	7	DC MK
6.	8	Will be divested. In advertantly omitted when filer EOD in January. Stock certificates located in March 2017.

PART	#	ENDNOTE
6.	9	Asset was inadvertently omitted at the time of original submission of report in January 2017
6.	10	(DC JCK III). #1
6.	11	JCK III #2
6.	12	DC MK
6.	14	DC MK #2

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).
