

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

Filer's Information

Gutman, Donald

OCFO, Department of Agriculture

Date of Appointment: 01/23/2017

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/ Gutman, Donald [electronically signed on 01/31/2017 by Gutman, Donald 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/ Segrist, Ryan, Certifying Official [electronically signed on 02/09/2017 by Segrist, Ryan in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 02/07/2017

Data Revised 02/02/2017

Data Revised 02/01/2017

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The Children's Inn at NIH	Bethesda, Maryland	University/College	Advisory Member - Audit Committee	1/2006	9/2016

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Aronson LLC		None (or less than \$1,001)	Deferred compensation from Aronson LLC - \$15,000 in 2015 and \$15,000 in 2016. No amounts remain.	\$30,000

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Aronson LLC	Rockville, Maryland	I participated in a 401-K plan and rolled the balance to a personal IRA in 2/9/2016	10/2010
2	Ernst & Young U.S. LLP	New York, New York	I participate in a defined benefit plan paid from an HR-10, defined benefit plan and income from EY. I participated in a 401-K plan which I rolled over to a personal IRA on 2/9/2016	10/1978

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	TIAA-CREF -Traditional Annuity Contract		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2	Jewish Federation of Greater Washington, defined benefit plan (value not readily ascertainable)	N/A			None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard - Donald Gutman, Revocable Trust			Dividends Capital Gains Interest	None (or less than \$201)
1.1	American Electric Power	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.2	EQT Corporation		\$100,001 - \$250,000	Dividends Capital Gains	\$201 - \$1,000
1.3	Great Plains Energy, Inc		\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
1.4	Macerich Co		\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
1.5	Merck & Co Inc		\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.6	Vanguard Federal Money Market Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	Public Service Enterprise Grp		\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.8	Verizon Communications Inc		\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.9	AT&T Inc		None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
1.10	Maryland Bond (Cusip - 574193LA4)		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.11	Vanguard Limited-Term Tax-Exempt	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.12	Vanguard Prime Money Market	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
1.13	Vanguard Total International Stock Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.14	Vanguard Total Stock Market Index Admiral Shares	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
1.15	Vanguard Inherited IRA - Donald Gutman			Dividends Capital Gains Interest	
1.15.1	Vanguard Intermediate Term Invest-Grade	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.15.2	Vanguard GNMA	Yes	None (or less than \$1,001)		\$201 - \$1,000
2	Vanguard 2016 (IRA) - Don			Dividends Capital Gains Interest	
2.1	Vanguard Long-term Tax-Exempt Adm	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
2.2	Vanguard Limited Term Tax-Exempt	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
2.3	Vanguard Short-Term Investment-Grade	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.4	International Stock Admiral	Yes	None (or less than \$1,001)		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Vanguard Total Stock Market Index	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
2.6	Vanguard Short Term Investment Grade Fund (Starts Don's IRA)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.7	Total International Bond Index Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.8	Vanguard Total Bond Market Index Admiral Shares	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.9	Camden Property Trust (CPT)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.10	Goldman Sachs Bank USA - CD	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.11	Manufacturers Trust Bank	Yes	None (or less than \$1,001)		\$201 - \$1,000
3	Vanguard Roth IRA - Donald Gutman			Dividends Capital Gains Interest	
3.1	Vanguard Long-Term Bond Index Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4	Vanguard - Ivy Fields Gutman, Revocable Trust				
4.1	Vanguard Intermediate Tax Exempt Bond Fund	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
4.2	Vanguard Long-term Tax-Exempt	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4.3	Vanguard Total Stock Market Index Fund	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
5	Vanguard IRA - Ivy Fields Gutman				
5.1	Vanguard Intermediate Term Investment Grade Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.2	Vanguard Total International bond Index Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6	Vanguard Roth IRA - Ivy Fields Gutman				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1	Vanguard Total Stock Market Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Vanguard 2016 (IRA) Ivy Fields Gutman				
7.1	Vanguard Total Stock Market Index	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
8	Vanguard Inherited IRA - Ivy Fields Gutman		\$1,001 - \$15,000	Interest	
8.1	Vanguard Total International bond Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	EY 401-K Plan - rolled over 2/9/2016		None (or less than \$1,001)	Dividends Capital Gains Interest	\$201 - \$1,000
10	Bank Accounts				
11	Citibank- Joint		\$50,001 - \$100,000	Interest	\$201 - \$1,000
12	Citibank-Don		\$100,001 - \$250,000	Interest	\$201 - \$1,000
13	Citibank-Ivy		\$100,001 - \$250,000	Interest	\$201 - \$1,000
14	WashingtonFirst Bank - Ivy		\$100,001 - \$250,000	Interest	\$201 - \$1,000
15	CapitalOne - Don		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
16	Capital One 360 - Don		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
17	Capital One 360 - Ivy		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
18	Cardinal Bank - Don		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
19	Cardinal Bank -Ivy		\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
20	HSA - Benefit Wallet		\$1,001 - \$15,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	Treasury I-Bonds - Don		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
22	Treasury I-Bonds - Ivy		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
23	Vanguard - Don IRA - Other				
23.1	Vanguard Long-term Bond Index Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
23.2	Vanguard Intermediate-Term Bond Index Value	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

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

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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