

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

## Filer's Information

**Eanes, John Y.**

Deputy Comptroller, Department of State, Department of State

Date of Appointment: 01/20/2017

Other Federal Government Positions Held During the Preceding 12 Months: None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

eSigned in FDM by:

John Y. Eanes

User ID: [REDACTED]

01/20/2017

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).

eSigned in FDM by:

Mitty J. Alexander

User ID: [REDACTED]

01/20/2017

Other review conducted by

U.S. Office of Government Ethics Certification

## 1. Filer Positions Held outside United States Government

#	NAME	CITY, STATE	OGE TYPE	POSITION	FROM	TO
1	Ares Management, LLC	Los Angeles, CA, USA	Business Enterprise	Portfolio Manager	02/2006	02/2016
2	Loan Syndications & Trading Association	New York, NY, USA	Trade association	Director	01/2015	02/2016

## 2. Filer's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Ares Corporate Opportunity Fund Asia - co-invest program that I am a part of for this private equity fund		\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
1.1	Bazhong Yike Carbon Co. Ltd (value not readily ascertainable)				None (or less than \$201)

1.2	China Tuna Industry Group Holdings Limited (value not readily ascertainable)				None (or less than \$201)
1.3	Ozner Water International Holding Limited (value not readily ascertainable)				None (or less than \$201)
1.4	Sichuan Jianyang Gangtong Group Co. (value not readily ascertainable)				None (or less than \$201)
1.5	YuanShengTai Dairy Farm Limited (value not readily ascertainable)				None (or less than \$201)
2	Ares Capital Europe II - co-invest program that is a part of for this direct lending fund (underlying assets non-ascertainable)	No	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
3	Fidelity Growth Company Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	JPMorgan SmartRetirement 2040 Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
5	Metropolitan West Total Return Bond Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	AMERICAN EUROPACIFIC GROWTH CLASS A	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	AMERICAN GROWTH FUND OF AMERICA CLASS A	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	AMERICAN CAPITAL INCOME BUILDER CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	FIDELITY CONTRAFUND	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	FIDELITY FREEDOM 2040	Yes	\$15,001 - \$50,000		None (or less than \$201)
11	FIDELITY GLOBAL BALANCED	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	FIDELITY INTL DISCOVERY	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	Ares Strategic Investment Partners V - carried interest in this hedge fund managed by my former employer (value not readily ascertainable)	N/A			None (or less than \$201)
14	Ares Special Situations Fund I - carried interest in this distressed debt fund managed by my former employer (value not readily ascertainable)	N/A			None (or less than \$201)
15	Ares Special Situations Fund III - carried interest in this distressed debt fund managed by my former employer (value not readily ascertainable)	N/A			None (or less than \$201)
16	Ares Special Situations Fund IV - carried interest in this distressed debt fund managed by my former employer (value not readily ascertainable)	N/A			None (or less than \$201)
17	Ares Special Situations Fund Riopelle - carried interest in this distressed debt fund managed by my former employer (value not readily ascertainable)	N/A			None (or less than \$201)
18	Ares Corporate Opportunities Fund IV - carried interest in this private equity fund managed by my former employer (value not readily ascertainable)	N/A		Capital Gains	\$5,001 - \$15,000
19	Salary/Bonus	N/A		Salary	\$918717

### 3. Filer Employment Agreements and Arrangements

#	EMPLOYER OR OTHER PARTY TO AGREEMENT/ARRANGEMENT	CITY/STATE	STATUS AND TERMS	DATE
1	Ares Management, LLC	Los Angeles, CA, USA	Carried interest agreements: Pursuant to separation agreement, I retain carried interest in funds disclosed in "Assets" as comp for employment from 02/06 to 02/16	02/2016

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Ares Management, LLC	Los Angeles, CA	I was an employee of Ares Management. I was a Partner and Portfolio Manager, and my duty was managing investment portfolios of leveraged loans and high yield bonds.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Bank Account #5	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	Vanguard Target Retirement 2040 Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	Vanguard 500 Index Fund Investor Shares	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Vanguard Diversified Equity Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Consulting income	N/A		Income from personal services	

#### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Bank Account #1	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	US Bank Account #2	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	US Bank Account #3	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	US Bank Account #4	N/A	\$250,001 - \$500,000		None (or less than \$201)
5	Bike Trail Properties - apartment complex in Denver, CO that I am a limited partner in	N/A	\$15,001 - \$50,000	Capital Gains, Rent and Royalties	\$15,001 - \$50,000
6	Marlu Apartments - another apartment complex in Denver, CO that I am a limited partner in	N/A	\$15,001 - \$50,000	Rent and Royalties	\$1,001 - \$2,500
7	PCP Oceanside LP - mobile home/RV park in Oceanside, CA that I am a limited partner in	N/A	\$50,001 - \$100,000	Rent and Royalties	\$1,001 - \$2,500
8	PCP Sundance LP - mobile home/RV park in Lemon Grove, CA that I am a limited partner in	N/A	\$15,001 - \$50,000	Rent and Royalties	\$1,001 - \$2,500
9	PCP Meadows LP - mobile home/RV park in Sun Valley, ID that I am a limited partner in	N/A	\$15,001 - \$50,000	Rent and Royalties	\$201 - \$1,000

10	Index Universal Life insurance account (underlying as Yes set is an index fund linked to DJIA, S&P 500 and NASDAQ)		\$50,001 - \$100,000		None (or less than \$201)
11	Bonobos - apparel company that I am a limited partner in	N/A	\$50,001 - \$100,000		None (or less than \$201)
12	The Brewery at Warehouse 9 - brewery tht I am a limited partner in	N/A	\$50,001 - \$100,000		None (or less than \$201)
13	PCP Santa Ana LP - mobile home/RV park in Santa Ana, CA that I am a limited partner in	N/A	\$50,001 - \$100,000		None (or less than \$201)
14	1440 Curson Ave Investors LLC - multi-family development project in Hollywood, CA that I am a limited partner in	N/A	\$15,001 - \$50,000		None (or less than \$201)
15	JIP Snowmass, LP - seasonal apartment building in Snowmass, CO that I am a limited partner in	N/A	\$15,001 - \$50,000		None (or less than \$201)
16	Vanguard Emerging Markets Stock Index Fund Admiral Shares	Yes	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
17	Vanguard REIT Index Fund Admiral Shares	Yes	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
18	Vanguard Small-Cap Index Fund Admiral Shares	Yes	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
19	Vanguard Total International Stock Index Fund Admiral Shares	Yes	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
20	Vanguard Total Stock Market Index Fund Admiral Shares	Yes	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
21	Vanguard Total International Stock Index Fund Admiral Shares	Yes	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
22	Vanguard Total Stock Market Index Fund Admiral Shares	Yes	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23	Alere Inc. Shares	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	Ares Dynamic Credit Allocation Fund Shares	Yes	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
25	Verifone Systems Shares	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	Tesoro Corp Shares	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	Unisys Corp Shares	N/A	\$1,001 - \$15,000		None (or less than \$201)
28	Cash in brokerage account	N/A	\$15,001 - \$50,000		None (or less than \$201)
29	Vanguard Total Stock Market Index Fund Investor Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

This report has no reported **Transactions**

## 8. Liabilities

#	CREDITOR NAME	TYPE OF LIABILITY	AMOUNT	YEAR INCURRED	INTEREST RATE	TERM
1	Ares Capital Europe II	Contingent - Capital Call	\$15,001 - \$50,000	2013	0.0%	On Demand
2	Ares Corporate Opportunity Fund A	Contingent - Capital Call	\$15,001 - \$50,000	2013	0.0%	On Demand

## **9. Gifts and Travel Reimbursements**

This report has no reported **Gifts and Reimbursements**

## **Summary of Contents**

### **1. Filer's Positions Held Outside the 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.

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