

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

Filer's Information

APPLETON, SETH

General Deputy Assistant Secretary, Department of Housing and Urban Development

Date of Appointment: 07/10/2017

Other Federal Government Positions Held During the Preceding 12 Months:

Chief of Staff - U.S. House of Reps (7/2009 - 7/2017)

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/ APPLETON, SETH [electronically signed on 09/16/2017 by APPLETON, SETH in Integrity.gov] - Filer received a 45 day filing extension.

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/ Allen, Lindsey, Certifying Official [electronically signed on 10/04/2017 by Allen, Lindsey in Integrity.gov]

Other review conducted by

/s/ Sisk, Avril U, Ethics Official [electronically signed on 09/29/2017 by Sisk, Avril U in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 12/11/2017

Data Revised 12/08/2017

Data Revised 10/17/2017

Data Revised 10/04/2017

Data Revised 09/29/2017

1. Filer's Positions Held Outside United States Government

None

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

None

3. Filer's Employment Agreements and Arrangements

None

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	National Corn Growers Association	N/A		salary	\$156,000
2	National Corn Growers Association Retirement Savings Plan	No			
2.1	Vanguard Windsor II Adm	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Vanguard 500 Index Admiral	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	Harbor Capital Appreciation I	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	Wells Fargo Spec Mdcpval Ins	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Vanguard Mid Cap Idx Adm	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	T. Rowe Price Mid-Cap Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Vanguard Explorer Adm	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Dodge & Cox Intl Stock	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Roth IRA	No			
1.1	Altria Group Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.2	American Funds Growth Fund of America Class A	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	Apple Inc.	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.4	Coca-Cola Co	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
1.5	Monsanto Co.	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
1.6	AT&T Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.7	TD Ameritrade Insured Deposit Account	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
1.8	Verizon Communications Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2	Bank of America Checking Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Bank of America Savings Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	Sterling Bank Sterling Silver Money Market Account	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
5	AT&T Inc	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
6	The Bank of New York Mellon Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7	Caterpillar Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8	CBS Corp B	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
9	Cisco Systems Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10	Comcast Corp	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
11	Commerce Bancshares, Inc. - Common Stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
12	Walt Disney Co	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13	Express Scripts Holding Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	Exxon Mobil Corp	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
15	General Electric Co	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Intl Business Machines Corp	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
17	Johnson & Johnson	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
18	Merck & Co Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19	Microsoft Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
20	Oracle Corp	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
21	Pfizer Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
22	Procter & Gamble	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23	Royal Dutch Shell PLC ADR Class A	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
24	Verizon Communications Inc	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
25	Viacom Inc B	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
26	Vodafone Group Plc - American Depositary Shares each representing ten Ordinary Shares	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
27	Monsanto Co.	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
28	Cornell Avenue Partners LLC	See Endnote			
28.1	Crowdedbuildings LLC	See Endnote	N/A	\$15,001 - \$50,000	None (or less than \$201)
29	Northwestern Mutual Whole Life Insurance	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	Phoenix Whole Life Insurance	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31	Bennett Frelich GST Marital Trust	See Endnote			
31.1	AT&T Inc	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
31.2	Verizon Communications Inc	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
31.3	Stifel Insured Bank Program	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
31.4	US Bancorp Fidelity Money Market	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
31.5	Ford Motor Co	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
31.6	Olin Corp	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
32	Bennett Frelich Article V Trust FBO Susan Appleton	See Endnote			
32.1	AT&T Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
32.2	CenturyLink Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
32.3	Comcast Corp	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
32.4	Stifel Insured Bank Program	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
33	Bennett Frelich Article V Trust FBO Alan Frelich	See Endnote			
33.1	AT&T Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
33.2	Comcast Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33.3	Stifel Insured Bank Program	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
34	Wells Fargo Bank Money Market Account	N/A	\$15,001 - \$50,000	Interest	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
6.	28	Investment partnership formed with his brother, to invest in Crowdedbuildings LLC.
6.	28.1	This is on-line marketplace, owned by a childhood friend. Filer and his brother have invested in it. This marketplace allows people to invest in a number of interests, including commercial real estate. Filer and brother are investors in the marketplace itself and not in the real estate options offered.

PART	#	ENDNOTE
6.	31	This is a family trust where Filer is a beneficiary. The trust is shared among family members, filer has listed the value of the asset and its income based on the portion that is currently attributable to him alone.
6.	32	This family trust is established for the benefit of filer's mother, Susan Appleton. the trust assets are shared among several siblings, Filer has calculated the value and interest income based upon the current portion attributable to him.
6.	33	This family trust is established for the benefit of Alan Frelich, Filer's uncle.He has listed the value and income based on the portion currently attributable to him.

The following information was inadvertently omitted from Part 1 of the New Entrant Report:

Organization Name	City, State of Entity	Organization Type	Position Held	From	To
Jesse David Appleton Trust	St. Louis, MO	Family Trust, non-profit	Co-Trustee	September 2013	Present

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.

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