

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

Filer's Information

Shah, Dimple

Deputy General Counsel , Department of Homeland Security

Report Year: 2017

Other Federal Government Positions Held During the Preceding 12 Months:

Staff Director National Security Subcommittee House Committee on Oversight and Government Reform (7/2016 - 2/2017)

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/ Shah, Dimple [electronically signed on 05/11/2017 by Shah, Dimple 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/ Heller, Susan J, Certifying Official [electronically signed on 03/01/2018 by Heller, Susan J in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 02/27/2018

Data Revised 02/15/2018

Data Revised 02/14/2018

Data Revised 08/15/2017

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Arc of Anne Arundel, Inc.	Annapolis, Maryland	Non-Profit	Staff	9/2010	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	M&T Bank IRA				
1.1	Allianzgi NFJ Mid-Cap Value Fund, PQNCX	Yes	None (or less than \$1,001)		None (or less than \$201)
1.2	Janus Global Life Sciences Fund, JAGLX	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3	T. Rowe Price Health Sciences, PRHSX	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	SRA 401k				
2.1	Opp Developing Market Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Fidelity Cap Appreciation K	Yes	None (or less than \$1,001)		None (or less than \$201)
2.3	Fidelity 500 Index INST	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Fidelity Contrafund K	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	LifePath Index Retir	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	BlackRock LifePath 2045 R	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Vanguard Tot Bd Mkt Inst	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Mass Mutl Bld Stb Val	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Arc of Ann Arundel County, Inc.	See Endnote	N/A	Salary	\$6,555

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	SRA 401k	Fair Oaks, Virginia	I will continue to participate in this defined contribution plan. The plan sponsor has not made further contributions after my separation.	8/2004
2	Arc of Anne Arundel County, Inc.	Annapolis, Maryland	Personal services	9/2010

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ByteCubed	N/A		Salary	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	John Hancock - Retirement Plan Services (USA)				
2.1	Fidelity Adv New Insights	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Capital World Growth Income	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	DFA Targeted Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	JHVIT Mid cap index Trust JECIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	American Century Heritage	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	American Funds Euro Pacific Growth Fund RERFX	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Vanguard Explorer	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	JHVIT Small Cap Index Trust JESIX	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	JHVIT International Equity Index Fund JIEQX	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Transamerica				None (or less than \$201)
3.1	American Funds AMCAP R3	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	American Funds Intl Gr and Inc R3	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	BlackRock S&P 500 Index Instl	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.4	Columbia Contrarin Core A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Goldman Sachs Small Cap Value A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	Ivy International Core Equity Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	J Morgan Equity Income A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	Janus Triton A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	Nuveen NWQ Small-Cap Value A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	Victory Integrity Small-Cap Value A	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	U.S. bank	N/A	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

None

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Great Lakes Student loans	Student Loan	\$50,001 - \$100,000	2012	4.125	10 months, 25 years
2	ACS	Student Loan	\$15,001 - \$50,000	2004	2	5 months 17 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	3	Personal Services

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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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.

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