

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

Filer's Information

Bailey, Whitney A

Director, Regional Operations, ACL, Department of Health & Human Services

Date of Appointment: 12/10/2017

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/ Bailey, Whitney A [electronically signed on 11/15/2017 by Bailey, Whitney A 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 12/19/2017 by Olesh, Stanley in Integrity.gov]

Other review conducted by

/s/ Lee, Steven, Ethics Official [electronically signed on 11/17/2017 by Lee, Steven in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 12/19/2017

Data Revised 12/15/2017

Data Revised 11/20/2017

Data Revised 11/17/2017

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(12/19/2017, Olesh, Stanley): 12/18/17 -- rec'd signed Ethics Agreement -- SO

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Oklahoma State University	See Endnote	Stillwater, Oklahoma	University/College	Faculty Member	8/2004	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Oklahoma State University	N/A		Salary	\$214,582
2	TIAA-CREF	No			
2.1	TIAA Traditional	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	TIAA Real Estate	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	CREF Money Market R2	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.4	CREF Inf-Linked Bond R2	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	T-C Infl-Lnkd Bond-Inst	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	T-C Intl Eq Idx-Inst	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.7	Metropolitan West Total Return Bond Fund I	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	American Wash Mut Inv R6	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	AXA 403B	No			
3.1	AXA Lg Cap Value Managed Volatility	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	AXA/Loomis Sayles Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	1290 VT GAMCO Small Co Value	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	1290 VT Equity Income	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Ivy VIP High Income	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	1290 VT GAMCO Mergers & Acq	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	Cash Account	N/A	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Oklahoma State University	Stillwater, Oklahoma	Upon appointment, I will separate from the university. I will surrender all access to computers, keys, rights and privileges, and will receive no benefits. I will have no obligation to return to the university. However, the university has agreed to hold my tenured faculty position for 24 months, giving me the option to return to it, should I choose to. Please note that I am under NO obligation to return to the university and will have no obligations to them during this period or in the future.	11/2017

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	Oklahoma State University's TIAA CREF plan	Stillwater, Oklahoma	I will continue to hold this defined contribution plan. Neither I or the plan sponsor (Oklahoma State University) will make further contributions after my separation.	8/2004

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Oklahoma State University	Stillwater, Oklahoma	I AM A PROFESSOR. I TEACH UNIVERSITY COURSES, DEVELOP RESEARCH PROJECTS AND PROGRAMS FOR COMMUNITY EDUCATION AND OUTREACH. I SERVE ON COMMITTEES AND MENTOR STUDENTS.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	GAP, INC.	N/A		salary, bonus	
2	RASIER LLC (UBER Technologies)	N/A		Spouse serves as a contractor, rideshare driver. As such, he is paid as a contractor	
3	Lyft Inc. (ended 12/14/17)	N/A		Spouse serves as a contractor, rideshare driver. As such, he is paid as a contractor	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	MetLife Whole Life Policy	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
2	U.S. bank account #1 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	U.S. bank account #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	U.S. bank account #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	US Department of Education	Student Loan	\$10,001 - \$15,000	2015	6.2	120 months
2	TGSLC	Student Loan	\$15,001 - \$50,000	2008	unknown	120 months

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	1	Leave of Absence from 12/2017 -- SO

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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