

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

Filer's Information

Ferriero, David S

Archivist of the United States, National Archives and Records Administration

Report Year: 2019

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/ Ferriero, David S [electronically signed on 05/08/2019 by Ferriero, David S 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/ Runkel, Christopher M, Certifying Official [electronically signed on 06/25/2019 by Runkel, Christopher M in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/31/2019 by Granahan, Megan in Integrity.gov]

Data Revised 07/29/2019

Data Revised 06/25/2019

Data Revised 06/24/2019

Data Revised 06/19/2019

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(06/25/2019, Runkel, Christopher M): The filer has been advised of several potential conflicts involving current or potential NARA vendors, and receives updated guidance on possible conflicts regularly.

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	New York State/Local Retirement System - Defined Benefit Plan	See Endnote	N/A	Monthly pension payments of \$1,703.68.	\$20,444

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	New York State/Local Retirement System; State Comptroller	Albany, New York	Defined Benefit Plan. Filer began receiving pension payments of \$1,703.68/month in October 2017. Total value of Plan is not readily ascertainable.	9/2004

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	Fidelity Rollover IRA - FDIC Insured Deposit at Fifth Third Bank		N/A	\$50,001 - \$100,000		None (or less than \$201)
2	TIAA-CREF Defined Contribution Plans	See Endnote	Yes	Over \$1,000,000		
2.1	TIAA Traditional		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.2	CREF Stock Fund CI R2	See Endnote	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.3	CREF Money Market Fund CI R3		Yes	\$100,001 - \$250,000		None (or less than \$201)
2.4	Vanguard Institutional Target Retirement 2015 Fund Inst CI VITVX		Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.5	Vanguard Institutional Target Retirement Income Fund Inst Class VITRX	See Endnote	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
2.6	Vanguard Target Retirement Income Trust Plus	See Endnote	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

6. Other Assets and Income

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Art Collection - Works on paper, oils, canvas		N/A	\$250,001 - \$500,000		None (or less than \$201)
2	Merrill Lynch Bank Deposit Program	See Endnote	No	\$15,001 - \$50,000		None (or less than \$201)
3	Bank of America Preferred Deposit Account	See Endnote	No	None (or less than \$1,001)		None (or less than \$201)
4	Blackstone Group L.P. Stock BX	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Broadcom Limited Stock AVGO	See Endnote	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6	Chevron Corporation Stock CVX		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7	Cincinnati Bell Inc. Preferred Series B Stock CBBPRB		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8	Constellation Brands, Inc. Stock STZ	See Endnote	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
9	Disney Company Stock DIS		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10	DowDuPont Inc. Stock DWDP	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
11	Eaton Corporation PLC Stock ETN		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12	Honeywell International Inc. Stock HON	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
13	Johnson and Johnson Services, Inc. Stock JNJ	See Endnote	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
14	Magellan Midstream Partners, L.P. Stock MMP	See Endnote	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
15	Motorola Solutions, Inc. Stock MSI	See Endnote	No	\$500,001 - \$1,000,000	Dividends Capital Gains	\$50,001 - \$100,000
16	Nestle Stock NSRGY	See Endnote	No	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
17	Pfizer, Inc. Stock PFE		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
18	Proctor and Gamble Company Stock PG	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
19	Thermo Fisher Scientific Inc.	See Endnote	No	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	UGI Corporation Stock UGI	See Endnote	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
21	Ventas, Inc. (REIT) Stock VTR	See Endnote	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22	BB&T Bank Accounts		No	\$15,001 - \$50,000		None (or less than \$201)
23	UnitedHealth Group Inc. Stock UNH	See Endnote	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
24	General Motors Company Stock GM	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
25	JPMorgan Chase & Co. Stock JPM	See Endnote	No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
26	Lockheed Martin Corporation Stock LMT	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
27	Microsoft Corporation Stock MSFT		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
28	NextEra Energy, Inc. Stock NEE		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
29	Ollie's Bargain Outlet Holdings, Inc. Stock OLLI	See Endnote	No	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
30	The Toronto-Dominion Bank Stock TD	See Endnote	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
31	Visa Inc. Cl A Stock V		No	\$15,001 - \$50,000		None (or less than \$201)
32	3M Company Stock MMM		No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
33	Morgan Stanley Bonds	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
34	Citigroup Inc. Bonds	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
35	Cypress Semiconductor Corporation Stock CY	See Endnote	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
36	Raytheon Company Stock RTN		No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
37	Royal Dutch Shell PLC Stock RDS.A		No	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
38	CD - Flushing Bank, Uniondale, NY	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
39	CD - East West Bank, Pasadena, CA	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
40	CD - Bank of China, New York, NY	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
41	CD - Bank of East Asia, New York, NY	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
42	CDs - Bank of India, New York, NY	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
43	CD - BankUnited, Inc., Miami Lakes, FL	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
44	CD - Farmers Bank and Trust, Great Bend, KS	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
45	CD - Mizrahi Tefahot Bank Ltd., Los Angeles, CA	See Endnote	No	None (or less than \$1,001)	Interest	\$201 - \$1,000
46	Fifth Third Bancorp Subordinated Bonds	See Endnote	No	None (or less than \$1,001)	Dividends Interest	\$1,001 - \$2,500
47	The Toronto-Dominion Bank Bonds	See Endnote	No	None (or less than \$1,001)	Interest	\$1,001 - \$2,500

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	CD - Bank of India, New York, NY Mar 7 2018	See Endnote	Purchase	01/31/18	\$50,001 - \$100,000
2	Fifth Third Bancorp Subordinated Bonds; 4.5% Jun 1 2018	See Endnote	Purchase	01/29/18	\$50,001 - \$100,000
3	Morgan Stanley Bonds; 1.875% Jan 05 2018 - REDEEMED	See Endnote		01/05/18	\$15,001 - \$50,000
4	Ventas, Inc. (REIT) Stock VTR	See Endnote	Sale	01/30/18	\$1,001 - \$15,000
5	Digital Realty Trust, Inc. Stock DLR	See Endnote	Sale	01/30/18	\$15,001 - \$50,000
6	Broadcom Limited Stock AVGO	See Endnote	Sale	01/30/18	\$50,001 - \$100,000
7	Citigroup Inc. Bonds; 1.8% Feb 05 2018 - REDEEMED	See Endnote		02/05/18	\$50,001 - \$100,000
8	CD - Bank of India, New York, NY May 30 2018	See Endnote	Purchase	02/28/18	\$15,001 - \$50,000
9	CD - Bank of India, New York, NY - REDEEMED	See Endnote		03/07/18	\$50,001 - \$100,000
10	Proctor and Gamble Company Stock PG	See Endnote	Sale	03/12/18	\$100,001 - \$250,000
11	Berry Global Group Inc. Stock BERY	See Endnote	Sale	03/12/18	\$1,001 - \$15,000
12	Cypress Semiconductor Corporation Stock CY	See Endnote	Purchase	03/12/18	\$15,001 - \$50,000
13	CD - Bank of India, New York, NY Apr 11 2018	See Endnote	Purchase	03/14/18	\$50,001 - \$100,000
14	CD - Bank of India, New York, NY Jun 13 2018	See Endnote	Purchase	03/14/18	\$50,001 - \$100,000
15	American Water Works Company, Inc. Stock AWK	See Endnote	Sale	03/29/18	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
16	Blackstone Group L.P. Stock BX	See Endnote	Sale	03/29/18	\$15,001 - \$50,000
17	Magellan Midstream Partners, L.P. Stock MMP	See Endnote	Sale	03/29/18	\$15,001 - \$50,000
18	Motorola Solutions, Inc. Stock MSI	See Endnote	Sale	03/29/18	\$15,001 - \$50,000
19	CD - Bank of East Asia, New York, NY May 29 2018	See Endnote	Purchase	04/27/18	\$100,001 - \$250,000
20	Ollie's Bargain Outlet Holdings, Inc. Stock OLLI	See Endnote	Sale	04/09/18	\$100,001 - \$250,000
21	Hexcel Corporation Stock HXL	See Endnote	Purchase	04/18/18	\$15,001 - \$50,000
22	Morgan Stanley Bonds; 2.125% April 25, 2018 - REDEEMED	See Endnote		04/25/18	\$15,001 - \$50,000
23	CD - Bank of India, New York, NY Apr 11 2018 - REDEEMED	See Endnote		04/11/18	\$50,001 - \$100,000
24	Cypress Semiconductor Corporation Stock CY	See Endnote	Purchase	04/18/18	\$15,001 - \$50,000
25	The Toronto-Dominion Bank Bonds; TD18F 1.45% Sep 6 2018	See Endnote	Purchase	06/01/18	\$100,001 - \$250,000
26	CD - Bank of East Asia, New York, NY - REDEEMED	See Endnote		05/29/18	\$100,001 - \$250,000
27	CD - Bank of India, New York, NY - REDEEMED	See Endnote		05/30/18	\$15,001 - \$50,000
28	Constellation Brands, Inc. Stock STZ	See Endnote	Purchase	06/01/18	\$15,001 - \$50,000
29	Union Pacific Corporation Stock UNP	See Endnote	Purchase	06/01/18	\$15,001 - \$50,000
30	Cypress Semiconductor Corporation Stock CY	See Endnote	Sale	06/01/18	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
31	UnitedHealth Group Inc. Stock UNH	See Endnote	Purchase	06/01/18	\$15,001 - \$50,000
32	CD - Mizrahi Tefahot Bank Ltd., Los Angeles, CA	See Endnote	Purchase	06/14/18	\$100,001 - \$250,000
33	CD - Bank of India, New York, NY Jun 13 2018 - REDEEMED	See Endnote		06/13/18	\$50,001 - \$100,000
34	Fifth Third Bancorp Subordinated Bonds; 4.5% Jun 1 2018 - REDEEMED	See Endnote		06/01/18	\$50,001 - \$100,000
35	Salesforce.com, Inc. Stock CRM	See Endnote	Purchase	07/23/18	\$15,001 - \$50,000
36	Fortinet, Inc. Stock FTNT	See Endnote	Purchase	07/23/18	\$15,001 - \$50,000
37	CD - Mizrahi Tefahot Bank Ltd., Los Angeles, CA - REDEEMED	See Endnote		07/16/18	\$100,001 - \$250,000
38	Nestle Stock NSRGY	See Endnote	Sale	07/23/18	\$1,001 - \$15,000
39	CD - Farmers Bank and Trust, Great Bend, KS	See Endnote	Purchase	07/31/18	\$100,001 - \$250,000
40	Union Pacific Corporation Stock UNP	See Endnote	Sale	07/23/18	\$15,001 - \$50,000
41	Fortinet, Inc. Stock FTNT	See Endnote	Purchase	09/17/18	\$15,001 - \$50,000
42	The Toronto-Dominion Bank Bonds; TD18F 1.45% Sep 6 2018 - REDEEMED	See Endnote		09/06/18	\$100,001 - \$250,000
43	Hexcel Corporation Stock HXL	See Endnote	Sale	09/17/18	\$15,001 - \$50,000
44	Triton International Limited Stock TRTN	See Endnote	Purchase	09/17/18	\$15,001 - \$50,000
45	Northrup Grumman Corporation Stock NOC	See Endnote	Sale	09/17/18	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
46	General Motors Company Stock GM	See Endnote	Sale	09/17/18	\$1,001 - \$15,000
47	CD - Bank of China (Nov. 19, 2018)	See Endnote	Purchase	09/19/18	\$100,001 - \$250,000
48	CD - Farmers Bank and Trust, Great Bend, KS - REDEEMED	See Endnote		09/28/18	\$100,001 - \$250,000
49	CD - BankUnited, Inc., Miami Lakes, FL	See Endnote	Purchase	10/17/2018	\$100,001 - \$250,000
50	Triton International Limited Stock TRTN	See Endnote	Sale	10/15/2018	\$15,001 - \$50,000
51	CD - EnerBank USA, Salt Lake City, UT	See Endnote	Purchase	10/19/2018	\$50,001 - \$100,000
52	Motorola Solutions, Inc. Stock MSI	See Endnote	Sale	10/15/2018	\$100,001 - \$250,000
53	CD - EnerBank USA, Salt Lake City, UT - REDEEMED	See Endnote		11/19/2018	\$50,001 - \$100,000
54	CD - Bank of China (Nov. 19, 2018) - REDEEMED	See Endnote		11/19/2018	\$100,001 - \$250,000
55	Proctor and Gamble Company Stock PG	See Endnote	Purchase	11/30/2018	\$15,001 - \$50,000
56	JP Morgan Chase & Co. Stock JPM	See Endnote	Purchase	11/30/2018	\$15,001 - \$50,000
57	UnitedHealth Group Inc. Stock UNH	See Endnote	Purchase	11/30/2018	\$1,001 - \$15,000
58	Verizon Communications Inc. Stock VZ	See Endnote	Purchase	11/30/2018	\$1,001 - \$15,000
59	Fortinet, Inc. Stock FTNT	See Endnote	Sale	11/30/2018	\$15,001 - \$50,000
60	DowDuPont Inc. Stock DWDP	See Endnote	Sale	11/30/2018	\$1,001 - \$15,000
61	Salesforce.com, Inc. Stock CRM	See Endnote	Sale	11/30/2018	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
62	Coca Cola Company Stock KO	See Endnote	Purchase	11/30/2018	\$15,001 - \$50,000
63	Coca Cola Company Stock KO	See Endnote	Sale	12/20/2018	\$1,001 - \$15,000
64	CD - Flushing Bank, Uniondale, NY	See Endnote	Purchase	12/07/2018	\$100,001 - \$250,000
65	CD - BankUnited, Inc., Miami Lakes, FL - REDEEMED	See Endnote		12/17/2018	\$100,001 - \$250,000
66	Motorola Solutions, Inc. Stock MSI - GIFT	See Endnote		12/19/2018	\$15,001 - \$50,000
67	Proctor and Gamble Company Stock PG	See Endnote	Sale	12/20/2018	\$1,001 - \$15,000
68	Verizon Communications Inc. Stock VZ	See Endnote	Sale	12/20/2018	\$1,001 - \$15,000
69	CD - East West Bank, Pasadena, CA	See Endnote	Purchase	12/28/2018	\$100,001 - \$250,000
70	Vanguard Institutional Target Retirement Income Fund Inst Class VITRX	See Endnote	Exchange	06/30/18	\$100,001 - \$250,000
71	Vanguard Target Retirement Income Trust Plus	See Endnote	Exchange	06/30/18	\$100,001 - \$250,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	BB&T Bank, Winston-Salem, NC	Mortgage on Personal Residence	\$50,001 - \$100,000		3.25%	ARM

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	1	Value is not readily ascertainable. Filer began receiving benefits in October 2017.
5.	2	Aggregates TIAA-CREF plans for former employers WGBH, Boston, MA and UNC at Chapel Hill/UNC-TV.
5.	2.2	Value category changed due to market forces.
5.	2.5	All shares of this fund were exchanged for shares of the Vanguard Target Retirement Income Trust Plus Fund in June 2018. See transaction.
5.	2.6	New in 2018. All shares of Vanguard Institutional Target Retirement Income Fund Inst Class were exchanged for shares of this fund in June 2018. See transaction.
6.	2	Merrill Lynch's Bank Deposit Program is with Bank of America.
6.	3	Cash account. Listed for tracking purposes.
6.	4	All sold, asset not owned as of 12/31/2018.
6.	5	All sold, asset not owned as of 12/31/2018.
6.	8	One accretion in 2018, see transactions.
6.	10	All sold, asset not owned as of 12/31/2018.
6.	12	Valuation decrease from 2018 annual report due to market forces.
6.	13	Valuation decrease from 2018 form due to market forces.
6.	14	All sold, asset not owned as of 12/31/2018.
6.	15	Two partial sales and one gift of stock during 2018. See transactions.
6.	16	All sold, asset not owned as of 12/31/2018.

PART	#	ENDNOTE
6.	18	All sold and asset not held as of 12/31/2018. The shares reported on 2018 annual were sold in March 2018. New shares were bought in November 2018 and sold in December 2018. No capital gains from either 2018 sale, but 2018 dividends > \$201.
6.	19	Valuation decrease from 2018 annual report due to market forces.
6.	20	Valuation decrease from 2018 annual report due to market forces.
6.	21	All sold, asset not held as of 12/31/2018.
6.	23	Valuation increase from 2018 due to stock accretions in June and November 2018, and market forces.
6.	24	All sold, asset not held as of 12/31/2018.
6.	25	One accretion in CY 2018. See transaction.
6.	26	Valuation decrease from 2018 annual report due to market forces.
6.	29	All sold, asset not held as of 12/31/2018.
6.	30	Valuation decrease from 2018 annual report due to market forces.
6.	33	All Morgan Stanley bonds were redeemed, asset not held as of 12/31/2018. Two tranches of Morgan Stanley bonds were listed separately on 2018 annual form, but the income earned by both in 2018 has been combined in this item. There are separate transactions on this form for the two tranches.
6.	34	All redeemed, asset not held as of 12/31/2018.
6.	35	All sold, asset not held as of 12/31/2018. Three transactions in 2018.
6.	38	New in 2018. CD matures January 2019.
6.	39	New in 2018. Matures in January 2019.
6.	40	Purchased and redeemed in 2018 - see two transactions.
6.	41	Purchased and redeemed in 2018 - see two transactions.
6.	42	4 CDs were purchased and redeemed in 2018 - see transactions. The interest has been aggregated and reported in this item.
6.	43	Purchased and redeemed in 2018.
6.	44	Purchased and redeemed in 2018.

PART	#	ENDNOTE
6.	45	Purchased and redeemed in 2018.
6.	46	Purchased and redeemed in 2018.
6.	47	Purchased and redeemed in 2018 and asset not held as of 12/31/2018.
7.	1	New.
7.	2	New.
7.	3	Redemption of bonds purchased on 9/6/17. Interest earned prior to redemption in 2018 >\$201.
7.	4	All sold. Cap gains and dividends 2018 >\$201.
7.	5	All sold, asset not held as of 12/31/2018. Income in 2018 prior to sale <\$201.
7.	6	All sold. Cap gains 2018 >\$5,000.
7.	7	All sold - bonds were purchased 11/1/17. Interest earned > \$201.
7.	8	New.
7.	9	Purchased January 2018. Interest < \$201.
7.	10	All stock held as of 12/31/2017 sold this date. 2018 dividends prior to sale > \$201.
7.	11	All sold. Income earned in 2018 prior to sale < \$201.
7.	12	Accretion.
7.	13	New.
7.	14	New.
7.	15	All sold, asset not held as of 12/31/2018. Asset was purchased in December 2017 and listed on 2018 annual form. 2018 income prior to sale < \$201.
7.	16	All sold. 2018 dividends > \$201.
7.	17	All sold. 2018 cap gains/dividends > \$201.
7.	18	Partial sale. 2018 cap gains/dividends (see transaction 50 for income category information on sales).
7.	19	New.

PART	#	ENDNOTE
7.	20	All sold. Cap gains in 2018 prior to sale > \$15,000, no dividends.
7.	21	New.
7.	22	All bonds redeemed; this tranche purchased 11/30/2017 was second tranche of Morgan Stanley bonds redeemed in 2018. Interest earned in 2018 prior to redemption > \$201.
7.	23	Purchased March 2018. Interest earned < \$201.
7.	24	Accretion.
7.	25	New.
7.	26	Purchased April 2018. Interest earned > \$201.
7.	27	Purchased February 2018. Interest earned < \$201.
7.	28	Accretion.
7.	29	New.
7.	30	All sold, including March and April 2018 accretions. 2018 income > \$201 prior to sale.
7.	31	Accretion.
7.	32	New.
7.	33	Purchased in March 2018. CD fully redeemed here. Interest earned in 2018 prior to redemption > \$200.
7.	34	Bonds were purchased in January 2018; all redeemed in June. Dividends and interest earned prior to redemption > \$1,001.
7.	35	New.
7.	36	New.
7.	37	Purchased June 2018. Interest earned > \$201.
7.	38	All sold. Capital gains and dividends earned in 2018 prior to sale > \$1,000.
7.	39	New. Redemption date is September 28, 2018.

PART	#	ENDNOTE
7.	40	Purchased June 2018. All sold in this transaction. Income earned prior to sale < \$201, so asset will not be listed in Other Assets on 2019 annual form.
7.	41	Accretion to existing stock.
7.	42	Asset purchased in June 2018 and now all redeemed. Interest earned prior to redemption > \$1,000.
7.	43	All sold. Stock was purchased in April 2018. Income earned prior to sale < \$201, so asset will not be listed in Other Assets part of 2019 annual form.
7.	44	New.
7.	45	All sold, asset not held as of 12/31/2018. 2018 income prior to sale < \$201 so asset will not be reported in Other Assets part of 2019 annual form.
7.	46	All sold. Dividends earned in 2018 prior to sale > \$200.
7.	47	New. Redemption date is November 2018.
7.	48	CD purchased July 31, 2018. Interest earned prior to redemption > \$200.
7.	49	New. Redemption date is 12/17/2018.
7.	50	All sold, stock was purchased in September 2018. No cap gains or dividends earned during period of ownership.
7.	51	New. Redemption date is 11/19/2018.
7.	52	Partial sale. Cap gains/dividends earned in 2018 from this and earlier 2018 sale (transaction 18), plus dividends on stock filer continues to hold > \$50,000.
7.	53	Purchased October 2018. Interest earned < \$201.
7.	54	Purchased September 2018. Interest earned > \$200.
7.	55	New, but PG reported on 2018 annual. Prior holdings were sold in March 2018 - see transaction 10.
7.	56	Accretion.
7.	57	Accretion.
7.	58	New in 2018, although reported on 2018 annual for earnings. Prior holdings were sold in 2017.

PART	#	ENDNOTE
7.	59	Purchased in July and September 2018 and now all sold. No cap gains or dividends earned prior to sale, so asset will not be listed in Other Asset part of 2019 annual form.
7.	60	All sold. Dividends prior to sale > \$200.
7.	61	Purchased July 2018 (transaction 35) and now all sold. No cap gains or dividends earned prior to sale and this asset will not be listed in the Other Assets part of the 2019 annual form. The difference in purchase and sale amounts in the two transactions is due to market forces.
7.	62	New.
7.	63	All sold. Stock was purchased in November 2018. No capital gains and < \$201 in dividends earned prior to sale, so stock will not be listed as "Other Asset" on 2019 annual OGE 278. The difference in purchase and sale amounts in the two transactions is due to market forces. The reporting of this transaction was delayed due to USG shutdown beginning December 22, 2018 (35 days).
7.	64	Redemption date is January 7, 2019. The reporting of this transaction, which is not required on the 278-T and was done for the filer's convenience, was delayed due to USG shutdown beginning December 22, 2018 (35 days).
7.	65	Interest earned prior to redemption > \$200. CD was purchased on October 17, 2018. The reporting of this transaction, which is not required on the 278-T and was done for the filer's convenience, was delayed due to USG shutdown beginning December 22, 2018 (35 days).
7.	66	Shares were gifted by filer's spouse. The reporting of this transaction was delayed due to USG shutdown beginning December 22, 2018 (35 days).
7.	67	All sold. This asset was purchased in November 2018. See that transaction (55) and March 2018 sale of previous stock (10) for more information. No cap gains or dividends earned between November purchase and this sale, but March transaction reports income > \$200 and asset is reported on Part 6. The reporting of this transaction was delayed due to USG shutdown beginning December 22, 2018 (35 days).
7.	68	All sold, asset not held as of 12/31/2018. This asset was purchased in November 2018. No income earned prior to sale. Verizon was reported on 2018 annual 278, but the applicable prior holdings were sold in 2017, so this asset will not be reported in Other Assets on 2019 annual form. The reporting of this transaction was delayed due to USG shutdown beginning December 22, 2018 (35 days).
7.	69	Redemption date is January 28, 2019. The reporting of this transaction, which is not required on the 278-T and was done for the filer's convenience, was delayed due to USG shutdown beginning December 22, 2018 (35 days).
7.	70	All shares of this fund, which markets to institutions, were exchanged for Vanguard Target Retirement Income Trust Plus (no ticker).

PART	#	ENDNOTE
7.	71	New in 2018. See previous endnote.

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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received 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 in income was received). 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.

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 ten 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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