

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

### Filer's Information

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**Schuyler, Anne R**

General Counsel, National Capital Planning Commission

Report Year: 2019

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Schuyler, Anne R [electronically signed on 07/02/2019 by Schuyler, Anne R in Integrity.gov] - Filer received a 90 day filing extension.**

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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/ Dickson, Debra L, Certifying Official [electronically signed on 07/02/2019 by Dickson, Debra L in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

**/s/ Granahan, Megan, Certifying Official [electronically signed on 08/01/2019 by Granahan, Megan in Integrity.gov]**

## 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	Davis NY Ventures Fd	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2	Dreyfus S&P 500 Index Fd      PEOPX	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3	T.Row Price Blue Chip Grth FD PABGX	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4	Thornberg Int'l Value Fd Class A TGVAX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	Blackrock Hi Yield Bond Port. (BHYAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	Harding Loevner Emerging Markets Value Fds. HLEMX	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7	JP Morgan Large Cap Growth (SEEGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Royce Total Ret Fund      (RYTRX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9	Templeton Global Bond Fund (TPINX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10	Western Asset Core Plus Bond Fd (WACPX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11	Shell International Fin Bond	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
12	Invesco S&P 500 Eq. Weight Fd. RSP      See Endnote	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
13	Proctor & Gamble (PG)		\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Fidelity NASDAQ index Fund (ONEQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	Value Line Asst Alloc. Fd (VLAAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	Walt Disney Co DIS	No	\$1,001 - \$15,000		None (or less than \$201)
17	Ishares NASDAQ Bio ETF (IBB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Schwab Bank Cash Assets	No	\$1,001 - \$15,000		None (or less than \$201)
19	Lincoln Financial Primecap Growth Fd.	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	Apple Inc Stock (AAPL)	No	\$1,001 - \$15,000		None (or less than \$201)
21	Microsoft Stock (MSFT)	No	\$1,001 - \$15,000		None (or less than \$201)
22	INVESCO QQQ Tr QQQ	Yes	\$1,001 - \$15,000		
23	Salesforce stock (CRM)	No	\$1,001 - \$15,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

None

### 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	American Invst Co. of Amer. FD AIVSX	See Endnote	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
2	Delaware Sm Cap Value Fund (DEVLX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
3	Thornberg Int'l Value Fd Class A TGVAXThornberg Int'l Value Fd Class A TGVAX		Yes	\$1,001 - \$15,000		\$201 - \$1,000
4	INVESCO S&P 500 Eq. Weight Fd. RSP	See Endnote	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5	MFS Intl New Disc A FD (MIDAX)		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
6	Ishares Russel 2000 Val IWN		Yes	\$1,001 - \$15,000		\$201 - \$1,000
7	ISHARES S&P 500 Grwth FD IWW	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8	Ishares Tr Russell 2000 (IWM)		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
9	ISHARES TR MSCI EAFE Index Fd EFA		Yes	\$1,001 - \$15,000		\$201 - \$1,000
10	Ishares Tr Russell Midcap ETF IWR		Yes	\$1,001 - \$15,000		\$201 - \$1,000
11	Ishares Trust Cohen & Sterns REIT ETF ICF		Yes	\$1,001 - \$15,000		\$201 - \$1,000
12	Harbor Cap Apr HACAX	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13	MD St. CMNTY Dev Admin Dpt Hsg & CMTY Dev 57419PL80		No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
14	MD St. Hlth & Hgr Ed 574218DWO		No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
15	Johnson & Johnson Note		No	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Schwab Adv Cash Reserve SWQXX	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
17	Amazon Corp Stock AMZN	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
18	Alphabet Inc, Class C shares (GOOG)	No	\$1,001 - \$15,000		None (or less than \$201)
19	Apple Inc. Stock APPL	No	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
20	Aqua America Stock(WTR)	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)
21	Bershire Hathaway Stock BRKB	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
22	Johnson & Johnson Stock JNJ	No	\$1,001 - \$15,000		None (or less than \$201)
23	Facebook (FB)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
24	Microsoft Corp (MSFT)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
25	Metlife, INC (MET)	No	\$1,001 - \$15,000		None (or less than \$201)
26	Netflix NFLX	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
27	NVIDIA Corp NVDA	No	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
28	Palo Alto Networks PANW	No	\$1,001 - \$15,000		None (or less than \$201)
29	Salesforce (CRM)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
30	Tesla Motors Inc. (TSLA)	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
31	Ishares NASDAQ Bio ETF (IBB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
32	SPDR S&P Divd. ETF (SDY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	Wells Fargo Bk Note Cusip 949746SH5	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
34	Microsoft Corp BondCusip #594918BS2	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
35	Apple Inc., Note Cusip #037833AU4	No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
36	ISHARES S&P 500 Value FD IVE	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
37	SPDR S&P Midcap 400 ETF (MDY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
38	SPDR S&P 400 Midcap Value (MDYV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
39	Annap MD Pub Imp BD 035771VC5	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
40	Alibaba stock (BABA)	No	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
41	Astrazenica PLC Stock (AZN)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
42	Intel Corp (INTC)	No	\$1,001 - \$15,000		None (or less than \$201)
43	M&T Bank Corp Stock (MTB)	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
44	Pfizer Inc. (PFE)	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)
45	Starbucks Corp. SBX	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
46	United Health Group (UNH)	No	\$1,001 - \$15,000	Rent or Royalties	\$201 - \$1,000
47	Walt Disney Co DIS	No	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
48	Altababa (AABA formerly Yahoo (YHOO)	See Endnote	No	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
49	Ishares Currency Hedged MSCI Eurozone ETF (HEZU)		Yes	\$1,001 - \$15,000		None (or less than \$201)
50	Ishares Crrency Hedged Japan MSCI EF (HEWJ)		Yes	None (or less than \$1,001)		None (or less than \$201)
51	Ishares MSCI Brazil ETF (EWZ)		Yes	\$1,001 - \$15,000		None (or less than \$201)
52	Isares MSCI Hong Kong ETF (EWH)		Yes	\$1,001 - \$15,000		None (or less than \$201)
53	Ishares MSCI India ETF (INDA)		Yes	\$1,001 - \$15,000		None (or less than \$201)
54	Ishares MSCI Singapore ETF (EWS)		Yes	\$1,001 - \$15,000		None (or less than \$201)
55	Select Street Financial SPDR ETF (XLF)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
56	TVA Bond 5/15/43 3.55% Cusip 88059TFU0		No	\$1,001 - \$15,000	Interest	\$201 - \$1,000
57	Accuracy Inc. stock (ARAY)		No	\$1,001 - \$15,000		None (or less than \$201)
58	Intl Bus Mach stock ( IBM)		No	\$1,001 - \$15,000		None (or less than \$201)
59	Micron Technology Stock (MU)			\$1,001 - \$15,000		None (or less than \$201)
60	L Brands Stock (LB)		No	\$1,001 - \$15,000		None (or less than \$201)
61	Paypal Hldgs Stock (PYPL)		No	\$1,001 - \$15,000		None (or less than \$201)
62	Pultegroup Inc (PHM)		No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
63	Square Inc stock (SQ)	No	\$1,001 - \$15,000		None (or less than \$201)
64	Taiwan Semiconductor (TSM)	No	\$1,001 - \$15,000		None (or less than \$201)
65	Target Corp. (TGT)	No	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

None

## 7. Transactions

None

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Joseph Oglander Family Trust	Personal Loan	\$50,001 - \$100,000	2014	3%	10 years
2	Joseph Oglander Family Trust	Personal Loan	\$50,001 - \$100,000	2018	3.25	10 years

## 9. Gifts and Travel Reimbursements



None

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## Endnotes

<b>PART</b>	<b>#</b>	<b>ENDNOTE</b>
2.	12	Name change: Formerly Guggenheim S&P 500 Equal Weight Fund. Line 15 on last years form
5.	1	Spouse has eliminated holdings in this account through a number of small transactions under reporting threshold.
5.	4	During 2018 this fund changed its name from Guggenheim to INVESCO
5.	7	Value reported incorrectly on last year's form. Last year's value should have been 15001-50,000 not 25,000,000-50,000,'000
5.	12	Account value reported incorrectly on 2017 form. Correct value was \$56,000
5.	48	Altababa exchanged its shares for shares in Alibaba. Holding in Alibaba is reported above

# 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.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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