

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

Filer's Information

LEAF, BARBARA A.

U.S. Ambassador to the UAE, State, State

Date of Termination: 03/31/2018

OGE RECEIVED: OCT 11, 2018

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.

eSigned in FDM by:

BARBARA A. LEAF

User ID: C2AD1FD8F96B1398

04/26/2018

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).

eSigned in FDM by:

Lana L. Vahab

User ID: 431AEA3FC06EB1BD

06/08/2018

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

This report has no reported **Positions Held Outside United States Government**

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

This report has no reported **Assets**

3. Filer's Employment Agreements and Arrangements

This report has no reported **Agreements and Arrangements**

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

This report has no reported Compensation Exceeding \$5,000

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

This report has no reported Assets

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Navy Federal Credit Union (cash account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	State Department Federal Credit Union (cash account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	Janus 20	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	Fidelity Destiny Plan II: O (FA Capital Development Fund Class O)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	Fidelity Destiny Plan II IRA: O (FA Capital Development Fund Class O)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6	Ameriprise	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.1	Fidelity Advisor Diversified Intl Cl A (Income not readily ascertainable)	Yes	\$1,001 - \$15,000		
6.2	Fidelity Advisor New Insights Cl A (Income not readily ascertainable)	Yes	\$15,001 - \$50,000		
6.3	Fidelity Advisor Strategic Income Cl A (Income not readily ascertainable)	Yes	\$1,001 - \$15,000		
6.4	Fidelity Advisor Small Cap Cl A (Income not readily ascertainable)	Yes	\$15,001 - \$50,000	Dividends	
7	529 Plan (New Hampshire)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.1	Fidelity Advisor Stock Selector All Cap Fund - Institutional Class (income not readily ascertainable)	Yes	\$1,001 - \$15,000		
7.2	Fidelity Advisor Equity Income Fund - Class I (income not readily ascertainable)	Yes	\$1,001 - \$15,000		
7.3	Fidelity Advisor Growth Opportunities Fund - Class I (income not readily ascertainable)	Yes	\$1,001 - \$15,000		
7.4	Fidelity Advisor Large Cap Fund - Class I (income not readily ascertainable)	Yes	\$1,001 - \$15,000		
7.5	Fidelity Advisor Mega Cap Stock Fund - Institutional Class (income not readily ascertainable)	Yes	\$1,001 - \$15,000		
7.6	Fidelity Advisor New Insights Fund - Class I (income not readily ascertainable)	Yes	\$1,001 - \$15,000		
7.7	Fidelity Advisor Diversified International Fund - Class I (income not readily ascertainable)	Yes	\$1,001 - \$15,000		
7.8	Fidelity Advisor Overseas Fund - Class I (income not readily ascertainable)	Yes	\$1,001 - \$15,000		
7.9	Fidelity Advisor Emerging Markets Fund - Class I (income not readily ascertainable)	Yes	\$1,001 - \$15,000		

7.10	Fidelity Advisor Investment Grade Bond Fund - Class I Yes (income not readily ascertainable)		\$1,001 - \$15,000	
7.11	Fidelity Advisor Government Income Fund - Institutional Yes al Class (income not readily ascertainable)		\$1,001 - \$15,000	
7.12	Fidelity Advisor Total Bond Fund - Institutional Clas Yes s (income not readily ascertainable)		\$1,001 - \$15,000	
7.13	Fidelity Advisor Inflation-Protected Bond Fund - Inst Yes itutional Class (income not readily ascertainable)		\$1,001 - \$15,000	
7.14	Fidelity Advisor High Income Fund - Class I (income n Yes ot readily ascertainable)		\$1,001 - \$15,000	
7.15	Fidelity Institutional Money Market (income not readi Yes ly ascertainable)		\$1,001 - \$15,000	
7.16	Fidelity Advisor Short Fixed Income Fund - Class I (i Yes ncome not readily ascertainable)		\$1,001 - \$15,000	
7.17	Fidelity Advisor Corporate Bond Fund (income not read Yes ily ascertainable)		\$1,001 - \$15,000	
7.18	Fidelity Advisor Mortgage Securities Fund	Yes	\$1,001 - \$15,000	
7.19	FA 529 2019 CL A (Income not readily ascertainable)	Yes	\$50,001 - \$100,000	
8	Alutiiq 401 K	Yes	\$15,001 - \$50,000	None (or less than \$201)
8.1	Nuveen Santa Barbara DV Grth I	Yes	\$15,001 - \$50,000	None (or less than \$201)
9	STG 401 K	Yes	\$1,001 - \$15,000	None (or less than \$201)
9.1	Fidelity Series Equity-Income Fund (income not readil Yes y ascertainable)		\$1,001 - \$15,000	None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Alutiiq 401K	sale	10/31/2017	\$15,001 - \$50,000
2	Janus 20	sale	10/31/2017	\$15,001 - \$50,000

8. Liabilities

#	CREDITOR NAME	TYPE OF LIABILITY	AMOUNT	YEAR INCURRED	INTEREST RATE	TERM
1	American Express	Credit Card/Revolving Charge Account	\$15,001 - \$50,000	2016	21.0%	monthly
2	Chase	Credit Card/Revolving Charge Account	\$15,001 - \$50,000	2016	14.99%	monthly
3	Chase	Mortgage, Alexandria, VA, USA	\$250,001 - \$500,000	2013	3.375%	30 yrs.
4	Navy Federal Credit Union	Credit Card/Revolving Charge Account	\$15,001 - \$50,000	2017	7.24%	Revolving
5	State Department Federal Credit U Home Equity Loan nion		\$100,001 - \$250,000	2013	5.24%	10 yrs

9. Gifts and Travel Reimbursements

This report has no reported **Gifts and Reimbursements**

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.

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.

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