

# Executive Branch Personnel

## Public Financial Disclosure Report:

### Periodic Transaction Report (OGE Form 278-T)

#### Filer's Information

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**Anderson, James Herbert**

ASD (SP&C), Department of Defense -- DAEO Agency

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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/ Anderson, James Herbert [electronically signed on 01/19/2019 by Anderson, James Herbert in Integrity.gov] - Filer received a 30 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/ Thompson, Scott F, Certifying Official [electronically signed on 01/28/2019 by Thompson, Scott F in Integrity.gov]

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Other review conducted by

/s/ Thompson, Scott F, Ethics Official [electronically signed on 01/28/2019 by Thompson, Scott F in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 03/22/2019 by Granahan, Megan in Integrity.gov]

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Data Revised 01/25/2019

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(01/25/2019, Rishel, Eric C): Sales align with EA and CD. Purchases comply with EA "no DoD contractor stock requirement. Filer advised regarding over-reporting of fund transactions on 278-T.

## Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
1	Air Prods & Chems Inc	Sale	12/03/2018	No	\$100,001 - \$250,000
2	Alphabet Inc Class A	Sale	12/03/2018	No	\$100,001 - \$250,000
3	Amazon.com Inc	Sale	12/03/2018	No	\$250,001 - \$500,000
4	AT&T Inc	Sale	12/03/2018	No	\$15,001 - \$50,000
5	Bank of America Corp	Sale	12/03/2018	No	\$50,001 - \$100,000
6	Caterpillar Inc	Sale	12/03/2018	No	\$100,001 - \$250,000
7	Chevron Corp	Sale	12/03/2018	No	\$100,001 - \$250,000
8	Eaton Corp plc	Sale	12/03/2018	No	\$100,001 - \$250,000
9	Exelon Corp	Sale	12/03/2018	No	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
10	Exxon Mobil Corp	Sale	12/03/2018	No	\$100,001 - \$250,000
11	Hershey	Sale	12/03/2018	No	\$100,001 - \$250,000
12	Intel Corp	Sale	12/03/2018	No	\$100,001 - \$250,000
13	Johnson & Johnson	Sale	12/03/2018	No	\$100,001 - \$250,000
14	Microsoft Corporation - Common Stock	Sale	12/03/2018	No	\$100,001 - \$250,000
15	PPG Industries Inc	Sale	12/03/2018	No	\$50,001 - \$100,000
16	PepsiCo Inc	Sale	12/03/2018	No	\$100,001 - \$250,000
17	Pfizer Inc	Sale	12/03/2018	No	\$50,001 - \$100,000
18	United Technologies Corp	Sale	12/03/2018	No	\$100,001 - \$250,000
19	Verizon Communications Inc	Sale	12/03/2018	No	\$100,001 - \$250,000
20	Walt Disney Co	Sale	12/03/2018	No	\$250,001 - \$500,000
21	Tata Motors	Sale	06/18/2018	No	\$15,001 - \$50,000
22	3M Co	Sale	11/29/2018	No	\$15,001 - \$50,000
23	Corning Inc	Sale	11/29/2018	No	\$15,001 - \$50,000
24	Exxon Mobil Corp	Sale	11/29/2018	No	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
25	General Electric Co	Sale	11/29/2018	No	\$1,001 - \$15,000
26	Intl Business Machines Corp	Sale	11/29/2018	No	\$1,001 - \$15,000
27	Illinois Tool Works Inc	Sale	11/29/2018	No	\$15,001 - \$50,000
28	Intel Corp	Sale	11/29/2018	No	\$15,001 - \$50,000
29	Royal Dutch Shell PLC	Sale	11/29/2018	No	\$50,001 - \$100,000
30	RPM International	Sale	11/29/2018	No	\$15,001 - \$50,000
31	Sysco Corp	Sale	11/29/2018	No	\$1,001 - \$15,000
32	Verizon Communications Inc	Sale	11/29/2018	No	\$50,001 - \$100,000
33	Xylem Inc	Sale	11/29/2018	No	\$1,001 - \$15,000
34	AT&T Inc	Sale	11/29/2018	No	\$50,001 - \$100,000
35	Johnson & Johnson	Sale	11/29/2018	No	\$50,001 - \$100,000
36	Microsoft Corp	Sale	11/29/2018	No	\$15,001 - \$50,000
37	Total SA	Sale	11/29/2018	No	\$15,001 - \$50,000
38	Procter & Gamble	Sale	11/29/2018	No	\$1,001 - \$15,000
39	Ford Motor Co	Purchase	12/24/2018	No	\$100,001 - \$250,000
40	Citigroup Inc	Purchase	12/24/2018	No	\$100,001 - \$250,000
41	Endeavour Silver Corp	Purchase	12/24/2018	No	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT
42	iShares Core MSCI EAFE ETF	Purchase	12/26/2018	No	\$100,001 - \$250,000
43	iShares Core MSCI Emerging Markets ETF	Purchase	12/26/2018	No	\$100,001 - \$250,000
44	iShares Core S&P Mid-Cap ETF	Purchase	12/26/2018	No	\$50,001 - \$100,000
45	iShares Core S&P Small-Cap ETF	Purchase	12/26/2018	No	\$100,001 - \$250,000
46	iShares Core S&P 500 ETF	Purchase	12/26/2018	No	\$100,001 - \$250,000
47	3D Systems Corp	Sale	11/29/2018	No	\$1,001 - \$15,000
48	Alphabet Class C	Sale	11/29/2018	No	\$1,001 - \$15,000
49	AT&T Inc	Sale	11/29/2018	No	\$50,001 - \$100,000
50	Johnson & Johnson	Sale	11/29/2018	No	\$1,001 - \$15,000
51	AT&T Inc	Sale	11/29/2018	No	\$1,001 - \$15,000
52	Citigroup Inc	Purchase	12/28/2018	No	\$15,001 - \$50,000

## Endnotes

## Summary of Contents

The 278-T discloses purchases, sales, or exchanges of securities in excess of \$1,000 made on behalf of the filer, the filer's spouse, or dependent child. Transactions are required to be disclosed within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Filers need not disclose (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the filer, the filer's spouse, and the filer's dependent children.

## 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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