

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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**Elliott, Howard R.**

Administrator of the Pipeline and Hazardous Materials Safety Administration, Department of Transportation

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- **Committee on Commerce, Science, and Transportation**
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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/ Elliott, Howard R. [electronically signed on 05/02/2017 by Elliott, Howard R. in Integrity.gov]**

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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/ Kaleta, Judith, Certifying Official [electronically signed on 09/15/2017 by Kaleta, Judith in Integrity.gov]**

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Other review conducted by

**/s/ Carlson, Terence W, Ethics Official [electronically signed on 09/14/2017 by Carlson, Terence W in Integrity.gov]**

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U.S. Office of Government Ethics Certification

**/s/ Apol, David, Certifying Official [electronically signed on 09/20/2017 by Apol, David in Integrity.gov]**

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	CSX Transportation	Jacksonville, Florida	Corporation	Vice President Public Safety, Health and Environment	11/2004	3/2017
2	Indiana Chapter of Delta Upsilon Alumni Association, Inc.	Bloomington, Indiana	Non-Profit	Director	3/2014	10/2016
3	Revocable Living Trust	Jacksonville, Florida	Trust	Trustee	11/2011	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	CSX Transportation Separation Agreement	N/A		Severance	\$438,855
2	CSX Transportation Salary and Bonus	N/A		Salary/Bonus	\$698,608
3	CSX Transportation Restricted Stock Units, vested (component of LTIP)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4	CSX Transportation, stock options (value not readily ascertainable): 16,996 shares vest 12/02/2018, strike \$24.99; 4,283 shares vest 02/10/2019, strike \$24.13; 330 shares vest 02/22/2020, strike \$48.39; all options expire 12/08/2025	N/A			None (or less than \$201)
5	CSX Retiree Pension Program, defined benefit plan (value not readily ascertainable)	N/A		retirement payments (monthly)	\$14,821
6	CSX Executive Deferred Compensation Plan				
6.1	CSX Stable Value Fund (managed by Newport Group)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	CSX Performance Stock Units (component of LTIP)	N/A	\$100,001 - \$250,000		None (or less than \$201)
8	CSX Restricted Stock Units, unvested (component of LTIP)	N/A	\$250,001 - \$500,000		None (or less than \$201)
9	Conrail pension, defined benefit plan, anticipated one-time lump-sum payment	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	> IRA	No			
10.1	BANK OF AMERICA	N/A	\$50,001 - \$100,000		None (or less than \$201)
10.2	XENIA HOTELS AND RESORTS	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.3	Merrill Lynch Accelerated Return Notes Linked to S&P 500 Index, issued by Canadian Imperial Bank of Commerce	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.4	CNL LIFESTYLE PROPERTIES	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.5	HIGHLANDS REITS INC	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.6	INVENTRUST PROPERTIES	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.7	1 MTH CNL Lifestyle Properties Inc. LP	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.8	ADVANSIX	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.9	AMERICAN WTR WKS CO INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.10	AUTOMATIC DATA PROC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.11	BLACKROCK INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.12	CHUBB LTD	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.13	CISCO SYSTEMS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.14	CITIGROUP INC COM NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.15	CITIZENS FINL GROUP	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.16	COMCAST CORP NEW CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.17	COSTCO WHOLESALE CRP DEL	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.18	CVS HEALTH CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.19	DANAHER CORP DEL COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.20	DEVON ENERGY CORP NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.21	DISNEY (WALT) CO COM STK	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.22	ECOLAB	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.23	FEDEX CORP DELAWARE COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.24	FIRST TR ENERGY ALPHADEX	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.25	FIRST TR FINANCIALS	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.26	FIRST TR INDUSTRL PRDCR	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.27	FIRST TR LARGE CAP VALUE	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.28	FIRST TR MATERIALS	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.29	FIRST TR TECHNOLOGY	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.30	FORTIVE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.31	HOME DEPOT INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.32	HONEYWELL INTL INC DEL	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.33	ISHARES SILVER TR	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.34	ISHARES TIPS	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.35	LOCKHEED MARTIN CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.36	MEDTRONICS PLC SHS	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.37	MICROSOFT CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.38	MONDELEZ INTERNATIONAL	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.39	NEXTERA ENERGY INC SHS	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10.40	STARBUCKS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.41	TEXAS INSTRUMENTS	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.42	THERMO FISHER	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.43	TOTAL S.A. SP ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.44	VANECK VECTORS GOLD MINERS	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.45	VERIZON COMMUNICATIONS COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.46	VISA INC CL A SHRS	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.47	BROWN ADVISORY SMALL CAP FUNDAMENTAL VALUE FRD INV CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.48	Eaton Vance Floating Rate Adv I (EIFAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10.49	FIRST EAGLE GLOBAL CLASS I	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.50	INVESCO DIVIDEND INCOME	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.51	JANUS ENTERPRISE FUND	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.52	JP MORGAN INTREPID GROWTH FUND I CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.53	LORD ABBETT FLOATING	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.54	LORD ABBETT SHORT DURATION INCOME FD CL F	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.55	PIMCO FOREIGN BOND	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.56	T ROWE PRICE GLOBAL TECHNOLOGY	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.57	TWEEDY BROWNE GLOBAL	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.58	JANUS ENTERPRISE I	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.59	APPLE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	Wells Fargo Traditional IRA	No			
11.1	AMERICAN CENTY MUT FDS GROWTH FUND CL I (TWGIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.2	AMERICAN CENTY INVT TR DIVERSIFIED BD FD CL I (ACBPX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.3	GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD INSTL CL (FTIXX)	Yes	\$1,001 - \$15,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.4	INVESTMENT MANAGERS SER TR OAK RIDGE SMALL CP GROWTH FD CL I (ORIYX)	Yes	\$1,001 - \$15,000		
11.5	ALGERS SMALLCAP AND MIDCAP GROW CL I (ASIMX)	Yes	\$1,001 - \$15,000		
11.6	WELLS FARGO ENDEAVOR SELECT FUND CLASS INST (WFCIX)	Yes	\$1,001 - \$15,000		
12	CSX 2014 Restricted Stock (component of Employee Retention Agreement)	N/A	\$250,001 - \$500,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	CSX Transportation unvested performance stock units and unvested restricted stock units (RSUs)	Jacksonville, Florida	Pursuant to the company's compensation plan I was able to retain these financial interests when I retired. Prior to assuming the duties of the position, CSX Transportation will accelerate the vesting of my unvested performance stock units and unvested restricted stock units, and in lieu of issuing me common stock, I will receive a lump sum cash payment. The amount of this payment will be equal to the number of shares of Company stock underlying the unvested performance stock units and unvested restricted stock units, multiplied by the closing price of the Company stock on June 5, 2017 (the date approved by the Company's Board of Directors).	11/2014
2	CSX Transportation unvested stock options	Jacksonville, Florida	Pursuant to the company's compensation plan, I will retain my unvested stock options. CSX Transportation will accelerate the vesting of my unvested stock options. I will divest the stock options by exercising them, and I will divest the resulting stock within 90 days of my confirmation.	11/2014
3	CSX Transportation deferred compensation plan	Jacksonville, Florida	I will continue to participate in this executive deferred compensation plan.	10/2012
4	CSX Transportation defined benefit plan	Jacksonville, Florida	I will continue to participate in this defined benefit plan.	11/2014

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
5	CSX Transportation restricted stock	Jacksonville, Florida	I will receive CSX restricted stock as part of an executive employment retention agreement that began on November 15, 2014 and ended on March 17, 2017. These units (5,786) are governed by IRS Regulation 409A and therefore subject to a six-month delay in distribution. These units will be distributed on September 17, 2017, and I will divest that stock within 90 days of my confirmation.	11/2014
6	CSX Transportation health insurance plan	Jacksonville, Florida	Under company policy, as a retired executive of CSX Transportation, I am entitled to receive health coverage for both me and my spouse for the rest of our lives, but I pay the plan premiums.	4/2017
7	CSX Transportation vested restricted stock units (RSUs)	Jacksonville, Florida	Pursuant to the company's compensation plan, I will retain my vested restricted stock units (1,298 units granted May 6, 2014 and vesting May 5, 2017). These units are subject to IRS Regulation 409A. These units will become exercisable on September 17, 2017 or upon CSX's notification of confirmation, whichever occurs first, and I will divest that stock within 90 days of my confirmation.	11/2014
8	Conrail defined benefit plan	Jacksonville, Florida	I will receive a one-time lump sum pension payment in July 2017 and my participation in the plan will terminate.	5/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	CSX Transportation	Jacksonville, Florida	Vice President Public Safety, Health, and Environment

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	> Spouse IRA	No			



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	T ROWE PRICE GLOBAL TECHNOLOGY FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	EATON VANCE FLOATING	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	TWEEDY BROWNE GLOBAL	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	AMERICAN CENTURY EQUITY	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	BROWN ADVISORY SMALL CAP	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	FIRST TR LARGE CAP VALUE	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	FIRST TR ENERGY ALPHADDEX	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	FIRST TR FINANCIALS	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	FIRST TR INDUSTRIAL PRDCR	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	FIRST TR TECHNOLOGY	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.11	FIRST TR MATERIALS	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	FIRST EAGLE GLOBAL CL I	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	INVESCO DIVIDEND INCOME	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	JANUS ENTERPRISE FUND	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	JP MORGAN INTREPID GROWTH	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	LORD ABBETT SHORT DURATION INCOME	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.17	PIMCO FOREIGN BOND FD	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.18	PRUDENTIAL TOTAL RETURN Z	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account (cash)	N/A	\$250,001 - \$500,000	Interest	None (or less than \$201)
2	> 529 Accounts	No			
2.1	SCHOLAR'S EDGE 529 (New Mexico)	No			
2.1.1	AGED BASED PORTFOLIO 100 CL A	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.1.2	AGE BASED PORTFOLIO 80 C	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	NEXTGEN COLLEGE INVESTMENT PLAN (Maine)	Yes			
2.2.1	BLACKROCK LARGE CAP GR A	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2.2	BLACKROCK LARGE CAP CORE PRT A	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2.3	FRANKLIN TEMPLETON SMALL MID CAP GR	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2.4	MAINSTAY LARGE CAP GROWTH A	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	METLIFE Series VA Annuity	No			
3.1	SCHRODERS GLOBAL MULTI-ASSET PORTFOLIO	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	METLIFE MUTLI-INDEX TARGETED RISK PORTFOLIO	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.3	AB GLOBAL DYNAMIC ALLOCATION PORTFOLIO	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	> Filer's Revocable Trust	No			
4.1	US brokerage deposit program #2 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.2	CSX CORP	N/A	\$500,001 - \$1,000,000	Dividends Capital Gains	\$100,001 - \$1,000,000
4.3	FIRST TR ENERGY ALPHADEX	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	FIRST TR INDUSTRL PRDCR	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	FIRST TR LARGE CAP VALUE	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	FIRST TR MATERIALS	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	FIRST TR TECHNOLOGY	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	ISHARES MSCI EAFE	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.9	ISHARES RUSSELL 1000 GROWTH	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.10	ISHARES RUSSELL 1000 VALUE	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.11	ISHARES S&P SMALLCAP 600 VALUE	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	ISHARES S&P 500 GROWTH	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.13	ISHARES TIPS	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.14	POWERSHARES S&P 500 LOW	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.15	SCHWAB STRATEGIC TR US MID CAP	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.16	BROWN ADVISORY SMALL CAP	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.17	EATON VANCE FLOATING ADVANTAGE I	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.18	FIRST EAGLE GLOBAL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.19	INVESCO DIVIDEND INCOME	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.20	JP MORGAN INTREPID GROWTH FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.21	LORD ABBOTT FLOATING RATE FUND F	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.22	T ROWE PRICE GLOBAL TECHNOLOGY	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.23	TOUCHSTONE FOCUSED FUND Y	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.24	TWEEDY BROWN GLOBAL VALUE	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	> Insurance	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.1	LNL MONEYGUARD RES PLUS (1), universal life		\$50,001 - \$100,000		None (or less than \$201)
5.2	LNL MONEYGUARD RES PLUS (2), universal life		\$50,001 - \$100,000		None (or less than \$201)
6	> Spouse Revocable Trust	No			
6.1	U.S. brokerage deposit program #1 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
6.2	AMERICAN WTR WORKS CO INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.3	FIRST TR ENERGY ALPHADEX	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.4	FIRST TR FINANCIALS ALPHADEX	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	FIRST TR INDUSTRIAL PRDCR	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	FIRST TR LARGE CAP VALUE	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.7	FIRST TR MATERIALS	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.8	FIRST TR TECHNOLOGY	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	GUGGENHEIM S&P 500 TO 50	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.10	ISHARES NASDAQ BIOTECH	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.11	ISHARES SILVER TR	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12	NEXTERA ENERGY INC SHS	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.13	VANECK VEXTORS GOLD MINERS	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.14	BROWN ADVISORY SMALL CAP FUNDAMENTAL VALUE	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.15	EATON VANCE FLOATING	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.16	FIRST EAGLE GLOBAL CLASS 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.17	INVESCO DIVIDEND INCOME FUND Y	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.18	JANUS ENTERPRISE FUND I	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.19	JP MORGAN INTREPID GROWTH	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.20	LORD ABBETT FLOATING	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.21	LORD ABBETT SHORT DURATION INCOME	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.22	PIMCO FOREIGN BOND FD	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.23	T ROWE PRICE GLOBAL TECHNOLOGY FUND	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.24	TWEEDY BROWNE GLOBAL VALUE	Yes	\$15,001 - \$50,000		\$201 - \$1,000

## 7. Transactions

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

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## 8. Liabilities

None

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## 9. Gifts and Travel Reimbursements

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

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## Endnotes

# 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 \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 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 \$150 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 three 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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