

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

### Filer's Information

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**Emanuel, William Joesph**

Member, National Labor Relations Board

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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 Health, Education, Labor, and Pensions**
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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/ Emanuel, William Joesph [electronically signed on 05/02/2017 by Emanuel, William Joesph 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/ Ketcham, Lori W, Certifying Official [electronically signed on 07/03/2017 by Ketcham, Lori W in Integrity.gov]**

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Other review conducted by

**/s/ Gilman, Joseph S, Ethics Official [electronically signed on 07/03/2017 by Gilman, Joseph S in Integrity.gov]**

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U.S. Office of Government Ethics Certification

**/s/ Apol, David, Certifying Official [electronically signed on 07/05/2017 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	Littler Mendelson PC	Los Angeles, California	Law Firm	Shareholder	7/2004	Present
2	Wine and Food Society of Southern California, Inc.	Los Angeles, California	Non-Profit	Board of Directors	6/2011	Present
3	Emanuel Family Trust	Los Angeles, California	Trust	Trustee	9/2007	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Littler Mendelson PC (law firm)	N/A		Salary	\$417,770
2	Littler Mendelson PC capital account	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	Littler Mendelson 401(k) Plan	No			
3.1	MFS Total Return R3 Fund	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
4	Wells Fargo IRA	No			
4.1	BlackRock Liquidity Funds T-Fund Institutional Shares Fund	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
4.2	Dodge and Cox Income Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4.3	T. Rowe Price Short-Term Bond Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.4	Metropolitan West Total Return Bond Fund Class I	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
4.5	Eaton Vance Floating Rate Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.6	PIMCO High Yield Fund INST	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.7	Harbor Capital Appreciation Instl Fund	Yes	\$100,001 - \$250,000		\$201 - \$1,000
4.8	MFS Value Fund - Class I	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.9	Vanguard 500 Index Fund Admiral	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.10	Principal MidCap Institutional Fund	Yes	\$100,001 - \$250,000		\$201 - \$1,000
4.11	Undiscovered Managers Behavioral Value Fund - L	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.12	Dodge & Cox International Stock Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.13	Harbor International Fund Institutional Shares	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.14	T. Rowe Price Instl Emerging Mkts Eq	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.15	Cohen & Steers Instl Realty Shares	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.16	Fidelity Advisor International Real Estate Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.17	Driehaus Active Income Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.18	Eaton Vance Global Macro Absolute Return Advantage Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.19	ASG Global Alternatives Y	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Jones Day Qualified Defined Benefit Plan (value not readily ascertainable)	N/A		Retirement Payments (Annual)	\$15,500
6	Little Mendelson PC Anticipated Hold Back Payment	N/A	\$15,001 - \$50,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Littler Mendelson PC - Capital Account	Los Angeles, California	Pursuant to the terms of the agreement with the firm, when filer leaves the firm, his capital account will be paid back over the course of 3 years (or possibly sooner). The balance of the capital account is already established.	7/2004
2	Jones Day Qualified Defined Benefit Plan	Los Angeles, California	I will continue to participate in this defined benefit plan.	1/1998
3	Littler Mendelson 401(k) Plan	Los Angeles, California	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	7/2004
4	Littler Mendelson PC	Los Angeles, California	When the filer leaves the firm a fixed amount will be established to cover any funds owed to him under the firm's salary hold back. That fixed amount will be paid to the filer shortly after the end of 2017.	5/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Littler Mendelson PC	Los Angeles, California	Legal Services
2	Amtrust Financial Services, Inc.	New York, New York	Legal Services
3	Atlas Air, Inc.	Purchase, New York	Legal Services
4	Automatic Labs, Inc.	San Francisco, California	Legal Services
5	Banker's Toolbox	Austin, Texas	Legal Services
6	BDI Insulation	Bakersfield, California	Legal Services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
7	Bio-Reference Laboratories Inc.	Elmwood Park, New Jersey	Legal Services
8	BMC Stock Holdings Inc.	Atlanta, Georgia	Legal Services
9	CBRE	Los Angeles, California	Legal Services
10	Cipriani USA Inc	New York, New York	Legal Services
11	Community Bank	Syracuse, New York	Legal Services
12	Consolidated Equipment Group, LLC	Alexandria, Minnesota	Legal Services
13	Emcor Group Inc	Norwalk, Connecticut	Legal Services
14	Encore Capital Group	San Diego, California	Legal Services
15	Enterprise Products Partners L.P.	Houston, Texas	Legal Services
16	FedEx Freight	Harrison, Arizona	Legal Services
17	Genesis HealthCare	Lake Forest, California	Legal Services
18	Haggen Inc	Bellingham, Washington	Legal Services
19	Handy	New York, New York	Legal Services
20	ICON Aircraft	Vacaville, California	Legal Services
21	Internet Brands, Inc.	El Segundo, California	Legal Services
22	Irell & Manella LLP	Los Angeles, California	Legal Services
23	JPMorgan Chase Bank, N.A.	New York, New York	Legal Services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
24	KDN Management Inc	Los Angeles, California	Legal Services
25	L&R Group of Companies	Los Angeles, California	Legal Services
26	La Quinta Car Wash	La Quinta, California	Legal Services
27	Los Angeles Unified School District	Los Angeles, California	Legal Services
28	M&T Bank	Buffalo, New York	Legal Services
29	MasTec, Inc.	Coral Gables, Florida	Legal Services
30	MiaSolé Hi-Tech Corp.	Santa Clara, California	Legal Services
31	National Freight Inc	Cherry Hill, New Jersey	Legal Services
32	Nissan North America, Inc.	Canton, Mississippi	Legal Services
33	Pacific Steel Casting Company LLC	Berkeley, California	Legal Services
34	Panda Restaurant Group, Inc.	Rosemead, California	Legal Services
35	PPG Industries, Inc.	Pittsburgh, Pennsylvania	Legal Services
36	Red Lobster	Orlando, Florida	Legal Services
37	Rite Aid Corporation	Camp Hill, Pennsylvania	Legal Services
38	Rural/Metro Corporation	Scottsdale, Arizona	Legal Services
39	Safeway Inc.	Pleasanton, California	Legal Services
40	The Salvation Army	Los Angeles, California	Legal Services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
41	Seacastle Inc.	Walnut Creek, California	Legal Services
42	Securitas Security Services USA, Inc	Los Angeles, California	Legal Services
43	Serta Simmons Bedding, LLC	Atlanta, Georgia	Legal Services
44	Staples, Inc.	Framingham, Massachusetts	Legal Services
45	Sugarfina	Los Angeles, California	Legal Services
46	Toshiba America Energy Systems Corp.	Charlotte, North Carolina	Legal Services
47	Uber Technologies, Inc.	San Francisco, California	Legal Services
48	Vision Express / Wrag-Time	Gardena, California	Legal Services
49	Wilshire West, LLC	Beverly Hills, California	Legal Services

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	SEP IRA	N/A	\$50,001 - \$100,000	SEP IRA	\$2,790
1.1	iShares Russell 2000 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	iShares Russell 1000 ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.3	iShares 7-10 Year Treasury Bond ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.4	iShares 1-3 Year Treasury Bond ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	iShares 20+ Year Treasury Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	iShares MSCI Emerging Markets	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	iShares MCSI EAFE Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	iShares Russell Midcap	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
1	602 Santa Monica Partners LP	See Endnote	No	\$1,001 - \$15,000	Limited partnership distribution	\$2,676
2	U.S. Checking account (cash)		N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Wells Fargo	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2016	3.25	30 Year



# 9. Gifts and Travel Reimbursements

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

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## Endnotes

PART	#	ENDNOTE
6.	1	This represents the filer's ownership interest in a small restaurant.

# 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.

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