

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

### Filer's Information

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**McFarland, Kathleen**

Deputy National Security Advisor, White House

Date of Appointment: 01/20/2017

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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/ Mcfarland, Kathleen T [electronically signed on 02/04/2017 by Mcfarland, Kathleen T 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/ Passantino, Stefan, Certifying Official [electronically signed on 03/31/2017 by Passantino, Stefan in Integrity.gov]**

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Other review conducted by

**/s/ Schultz, James D, Ethics Official [electronically signed on 03/31/2017 by Schultz, James D in Integrity.gov]**

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U.S. Office of Government Ethics Certification

**/s/ Apol, David, Certifying Official [electronically signed on 09/29/2017 by Apol, David in Integrity.gov]**

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Data Revised 08/24/2017

Data Revised 08/17/2017

Data Revised 08/14/2017

Data Revised 02/16/2017

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Fox News	New York, New York	Corporation	contributor	9/2009	11/2016
2	Jamestown Foundation	Washington, District of Columbia	Non-Profit	Director	2/2008	12/2016
3	Presidential Transition Team	Washington, District of Columbia	Transition Team for Donald Trump	Served on Committee first, then Deputy National Security Advisor as part of the transition	11/2016	1/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fox News Network, LLC	N/A		Contract payments as a national security analyst	\$63,518
2	U.S. Global Leadership Coalition - January 20-21, 2016	N/A		Honorarium	\$7,500
3	speech at American Fuel & Petrochemical Manufacturers - April 12, 2016	N/A		Honorarium	\$16,000
4	Keppler Speakers speech at Wisconsin Bankers Association Bank Executives Conference - February 9, 2016	N/A		Honorarium	\$9,375
5	Keppler Speakers speech at Ohio Cable Telecommunications Association - February 24, 2016	N/A		Honorarium	\$9,750
6	Keppler Speakers speech at Bakersfield Business Conference - October 8, 2016	N/A		Honorarium	\$10,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	Keppler Speakers speech at Construction Industry Round Table - May 18, 2016	N/A		Honorarium	\$6,750
8	Keppler Speakers speech at 7th Annual Cyber Security Awareness Week sponsored by Humana Inc. -- October 11, 2016	N/A		Honorarium	\$11,000
9	Politicon - June 25, 2016	N/A		Honorarium	\$7,000
10	U.S. Global Leadership Coalition - July 20, 2016	N/A		Honorarium	\$7,000
11	Keppler Speakers speech at Associated Equipment Distributors Annual Economic Forum - September 22, 2016	N/A		Honorarium	\$9,750
12	Keppler Speakers speech at Air Movement & Control Association - October 22, 2016	N/A		Honorarium	\$6,000
13	Texas Crime Stoppers - October 12, 2016	N/A		Honorarium	\$16,000
14	Ross Yoon Agency Crown Publisher for Book named Turning Point -- Reclaiming an America We Can Believe In (value not readily ascertainable)	N/A		Author's advance	\$42,500
15	Kepplers Speakers speech at Young America's Foundation - November 12, 2016	N/A		Honorarium	\$2,500
16	Keppler Speakers speech at , Leadership Conference for MRA - The Management Association - December 17, 2015	N/A		Honorarium	\$8,250
17	IRA				
17.1	AKAMAI TECHNOLOGIES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.2	ALPHABET INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.3	AMAZON.COM INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.4	APPLE INC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.5	CELGENE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.6	DISNEY WALT CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.7	DREYFUS TREAS SECURITIES CASH MGT PT	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.8	EXXONMOBIL CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.9	FACEBOOK INC-A	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.10	GENERAL ELECTRIC CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.11	GILEAD SCIENCES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.12	GOLDMAN SACHS GROUP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.13	HONEYWELL INTERNATIONAL INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.14	MICROSOFT CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.15	NXP SEMICONDUCTORS	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.16	UNION PAC CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.17	VANGUARD FTSE ALL-WORLD EX-US	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.18	VANGUARD FTSE EMERGING MARKETS ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.19	VANGUARD IND FD MID-CAP	Yes	\$1,001 - \$15,000		None (or less than \$201)
17.20	VANGUARD REIT ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.21	VANGUARD SMALL-CAP ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.22	VISA INC CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Advance receivable from Ross Yoon Agency Crown Publisher for Book named Turning Point Reclaiming An America We Can Believe In	N/A	\$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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	U.S. Global Leadership Coalition	Washington, District of Columbia	Honorarium
2	American Fuel & Petrochemical Manufacturers	Washington, District of Columbia	Honorarium, AFPM Security Conference
3	Wisconsin Bankers Association Bank Executives Conference (through Keppler Speakers Bureau)	Madison, Wisconsin	Honorarium
4	Ohio Cable Telecommunications Association (through Keppler Speakers Bureau)	Columbus, Ohio	Honorarium
5	Bakersfield Business Conference (through Keppler Speakers Bureau)	Bakersfield, California	Honorarium
6	Construction Industry Round Table (through Keplers Speakers Bureau)	Washington, District of Columbia	Honorarium
7	7th Annual Cyber Security Awareness Week (through Keplers Speakers Bureau)	Louisville, Kentucky	Honorarium

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
8	Politicon	Los Angeles, California	Honorarium
9	U.S. Global Leadership Coalition	Washington, District of Columbia	Honorarium, USGLC State Leaders Summit
10	Associated Equipment Distributors Annual Economic Forum (through Keppler Speakers Bureau)	Rosemont, Illinois	Honorarium
11	Air Movement & Control Association (through Keppler Speakers Bureau)	Washington, District of Columbia	Honorarium
12	Texas Crime Stoppers	Austin, Texas	Honorarium
13	Ross Yoon Agency Crown Publisher for Book named Turning Point -- Reclaiming an America We Can Believe In	Washington, District of Columbia	Author's advance
14	National Association of Wholesaler Distributors (through Keppler Speakers Bureau)	Washington, District of Columbia	Honorarium
15	Independent Oil & Gas Association of West Virginia (through Keppler Speakers Bureau)	Charleston, South Carolina	Honorarium
16	FMI Asset Protection (through Keppler Speakers Bureau)	Memphis, Tennessee	Honorarium
17	MRA - The Management Association Leadership Conference (through Keppler Speakers Bureau)	Wauwatosa, Wisconsin	Honorarium
18	Information Security Forum (through Keppler Speakers Bureau)	Atlanta, Georgia	Honorarium
19	Salem Radio	Chicago, Illinois	Honorarium
20	Colorado Women's Alliance	Denver, Colorado	Honorarium
21	Aspen Glen	Aspen, Colorado	Honorarium
22	Community Bankers Association of Oklahoma (through Keppler Speakers Bureau)	Oklahoma City, Oklahoma	Honorarium

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
23	US Global Leadership Coalition	Denver, Colorado	Honorarium
24	US Global Leadership Coalition	Milwaukee, Wisconsin	Honorarium
25	Fox News Network LLC	New York, New York	Contract payments as a national security analyst

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Village of Southampton Planning Board	N/A		Planning Board Member payment	
2	Excellon - Interest on debenture convertible to stock options	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
3	Excellon Resources Inc	N/A		Directors fees	
4	IRA				
4.1	DREYFUS TREAS SECURITIES CASH MGT PT	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.2	U.S. TREASURY BILLS	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
4.3	U.S. TREASURY NOTES	N/A	\$1,000,001 - \$5,000,000	Dividends	\$5,001 - \$15,000
4.4	VANGUARD CAPITAL VALUE F-INV	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
4.5	VANGUARD DIVIDEND GROWTH-IV	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
4.6	VANGUARD FTSE ALL-WORLD EX-US	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.7	VANGUARD FTSE EMERGING MARKETS ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.8	VANGUARD IND FD MID-CAP	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.9	VANGUARD REIT ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.10	VANGUARD SMALL-CAP ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.11	VANGUARD WINDSOR-ADM	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
5	McFarland Dewey Company LLC (investment banking)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	Excellon Resources Inc. Deferrred Stock Units (Unvested)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
7	Excellon Resources Inc. Options (Vested)	N/A	\$50,001 - \$100,000		None (or less than \$201)
8	Excellon Resources Inc. Warrants	N/A	\$15,001 - \$50,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Grantor Trust				
1.1	3M CO	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.2	ABBOTT LABS	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.3	AKAMAI TECHNOLOGIES INC	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.4	ALPHABET INC CL A	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.5	ALPHABET INC CL C	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.6	AMAZON.COM INC	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.7	APPLE INC	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.8	BANK OF AMERICA CORP	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.9	BERKSHIRE HATHAWAY INC-CL B	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.10	BRISTOL MYERS SQUIBB CO	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.11	CELGENE CORP	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.12	CHEVRON CORPORATION	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.13	CLOROX COMPANY	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.14	COSTCO WHOLESALE CORP	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.15	CVS HEALTH CORP	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.16	DANAHER CORP	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
1.17	DISNEY WALT CO	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.18	DREYFUS TREAS SECURITIES CASH MGT PT	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.19	DU PONT E I DE NEMOURS & CO	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.20	EXXONMOBIL CORP	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.21	FACEBOOK INC-A	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.22	FORTIVE CORP	N/A	None (or less than \$1,001)		None (or less than \$201)
1.23	GENERAL ELECTRIC CORP	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.24	GILEAD SCIENCES INC	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.25	HONEYWELL INTERNATIONAL INC	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.26	JOHNSON & JOHNSON	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.27	MANHATTAN ASSOCS INC	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.28	MASTERCARD INC CL A	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.29	MCDONALDS CORP	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.30	MICROSOFT CORP	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.31	NOVARTIS AG SPONS ADR	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
1.32	OCCIDENTAL PETE CORP	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.33	SCHLUMBERGER LTD	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.34	STARBUCKS CORP	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.35	T ROWE PRICE NEW HORIZONS FUND	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.36	T ROWE PRICE NEW HORIZONS FUND	Yes	None (or less than \$1,001)		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.37	U.S. TREASURY BILLS	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.38	U.S. TREASURY NOTES	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.39	UNION PAC CORP	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.40	UNITED TECHNOLOGIES CORP	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.41	VANGUARD FTSE DEVELOPED MARKETS ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.42	VANGUARD FTSE EMERGING MARKETS ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.43	VANGUARD MID CAP INDEX-ADM	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.44	VANGUARD REIT ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.45	VANGUARD SMALL-CAP INDEX-ADM	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.46	VISA INC CL A	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
2	TD Canada Trust account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	US bank account #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	US bank account #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	US bank account #3 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6	Inherited Trust #2				
6.1	DREYFUS TREAS SECURITIES CASH MGT PT	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2	U.S. TREASURY NOTES	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.3	Schlumberger Ltd	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.4	GENERAL ELECTRIC CORP	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.5	OCCIDENTAL PETE CORP	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.6	DANAHER CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.7	BRISTOL MYERS SQUIBB CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.8	CVS HEALTH CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.9	APPLE INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.10	CLOROX COMPANY	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.11	Costco Wholesale Corp	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.12	VISA INC CL A	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.13	JOHNSON & JOHNSON	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.14	Honeywell Intl Inc	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.15	EXXONMOBIL CORP	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.16	3M CO	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.17	PERRIGO CO PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.18	V.F. CORP	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
6.19	BANK OF AMERICA CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.20	GILEAD SCIENCES INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.21	T ROWE PRICE GROUP INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.22	UNION PAC CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.23	NOVARTIS AG SPONS ADR	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.24	DISNEY WALT CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.25	First Republic Bank stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.26	FORTIVE CORP	N/A	None (or less than \$1,001)		None (or less than \$201)
6.27	MICROSOFT CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.28	PROCTER & GAMBLE CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.29	STARBUCKS CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.30	VANGUARD MID CAP INDEX-ADM	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.31	VANGUARD FTSE ALL-WORLD EX-US	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.32	VANGUARD FTSE EMERGING MARKETS ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.33	VANGUARD REIT ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.34	VANGUARD SMALL-CAP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.35	AKAMAI TECHNOLOGIES INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.36	ALPHABET INC CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.37	ALPHABET INC CL C	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.38	AMAZON.COM INC	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.39	BERKSHIRE HATHAWAY INC-CL B	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.40	CELGENE CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.41	CHEVRON CORPORATION	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.42	FACEBOOK INC-A	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.43	MANHATTAN ASSOCS INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.44	NXP SEMICONDUCTORS	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.45	THERMO FISHER SCIENTIFIC INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	Inherited Trust #1				
7.1	DREYFUS TREAS SECURITIES CASH MGT PT	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.2	US Treasury Notes	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.3	3M CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.4	APPLE INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.5	BRISTOL MYERS SQUIBB CO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.6	CLOROX COMPANY	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.7	COSTCO WHOLESALE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.8	CVS HEALTH CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.9	DANAHER CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.10	DISNEY WALT CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.11	DU PONT E I DE NEMOURS & CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.12	EXXONMOBIL CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.13	FORTIVE CORP	N/A	None (or less than \$1,001)		None (or less than \$201)
7.14	GENERAL ELECTRIC CORP	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
7.15	GILEAD SCIENCES INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.16	HONEYWELL INTERNATIONAL INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.17	JOHNSON & JOHNSON	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.18	MCDONALDS CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.19	MICROSOFT CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.20	NESTLE SA SPONS ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.21	PERRIGO CO PLC	N/A	None (or less than \$1,001)		None (or less than \$201)
7.22	PROCTER & GAMBLE CO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.23	SCHLUMBERGER LTD	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.24	T ROWE PRICE GROUP INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.25	THERMO FISHER SCIENTIFIC INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.26	UNION PAC CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.27	VISA INC CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.28	VANGUARD MID CAP INDEX-ADM	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.29	VANGUARD FTSE ALL-WORLD EX-US	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.30	VANGUARD FTSE EMERGING MARKETS ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.31	VANGUARD REIT ETF	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
7.32	VANGUARD SMALL-CAP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.33	AKAMAI TECHNOLOGIES INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.34	ALPHABET INC CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.35	ALPHABET INC CL C	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.36	AMAZON.COM INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.37	BERKSHIRE HATHAWAY INC-CL B	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.38	CELGENE CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.39	FACEBOOK INC-A	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.40	GOLDMAN SACHS GROUP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.41	NXP SEMICONDUCTORS	N/A	\$15,001 - \$50,000		None (or less than \$201)
8	Managed account				
8.1	3M CO	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.2	ABBOTT LABS	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.3	ABBVIE INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.4	ADVANSIX INC	N/A	None (or less than \$1,001)		None (or less than \$201)
8.5	AFLAC INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.6	ALPHABET INC CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.7	AMAZON.COM INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.8	APPLE INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.9	BERKSHIRE HATHAWAY INC-CL B	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.10	BRISTOL MYERS SQUIBB CO	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.11	CEDAR FAIR LP	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.12	CELGENE CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.13	CHEVRON CORPORATION	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.14	CISCO SYSTEMS INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.15	COCA COLA CO	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.16	COMCAST CORP-CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.17	CONOCOPHILLIPS	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.18	CVS HEALTH CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.19	DANAHER CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.20	DISNEY WALT CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.21	DOW CHEMICAL COMPANY	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.22	DREYFUS TREAS SECURITIES CASH MGT PT	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.23	EXCELLON RESOURCES INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.24	EXXONMOBIL CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.25	FACEBOOK INC-A	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.26	FIRST REPUBLIC BANK stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.27	FORD MOTOR CO DEL	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.28	FORTIVE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.29	GENERAL ELECTRIC CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.30	GILEAD SCIENCES INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.31	HOME DEPOT INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.32	HONEYWELL INTERNATIONAL INC	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.33	INTEL CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.34	INTL. BUSINESS MACHINES CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.35	JOHNSON & JOHNSON	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.36	KRAFT HEINZ CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.37	MANHATTAN ASSOCS INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.38	MATTHEWS PACIFIC TIGER-INST	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.39	MATTHEWS PACIFIC TIGER-INST	Yes	None (or less than \$1,001)		\$201 - \$1,000
8.40	MCDONALDS CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.41	MICROSOFT CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.42	MONDELEZ INTERNATIONAL INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.43	PEPSICO INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.44	PHILLIPS 66	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.45	PROCTER & GAMBLE CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.46	QUALCOMM INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.47	ROSS STORES INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.48	T ROWE PRICE GROUP INC	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
8.49	UNION PAC CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.50	UNITED TECHNOLOGIES CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.51	VANGUARD FTSE EMERGING MARKETS ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.52	VANGUARD MID CAP INDEX-ADM	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.53	VANGUARD REIT ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8.54	VANGUARD SMALL-CAP INDEX-ADM	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.55	VISA INC CL A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.56	WELLS FARGO & CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

## 7. Transactions

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

## 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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