

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

Filer's Information

Adams, Jerome

Surgeon General, Department of Health & Human Services

Report Year: 2018

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Adams, Jerome [electronically signed on 05/14/2018 by Adams, Jerome in Integrity.gov]

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/ Fischmann, Elizabeth, Certifying Official [electronically signed on 06/26/2018 by Fischmann, Elizabeth in Integrity.gov]

Other review conducted by

/s/ Hall, Randall, Ethics Official [electronically signed on 06/22/2018 by Hall, Randall in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 07/31/2018

Data Revised 06/22/2018

Data Revised 06/20/2018

Data Revised 06/15/2018

Data Revised 06/14/2018

Data Revised 05/17/2018

Data Revised 05/16/2018

Data Revised 05/15/2018

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO	
1	State of Indiana	Indianapolis, Indiana	State Government	Indiana State Health Commissioner	10/2014	9/2017	
2	Indiana University School of Medicine/IU Health Physicians	Indianapolis, Indiana	University/College	Assistant Professor of Anesthesiology	1/2008	9/2017	
3	Family Revocable Living Trust	Indianapolis, Indiana	Trust	Trustee	2/2014	Present	
4	Eskenazi Pharmacy and Therapeutics Committee	Indianapolis, Indiana	Advisory Committee	Chair	1/2010	8/2017	
5	Indiana Society of Anesthesiologists	Indianapolis, Indiana	Professional Organization	Board of Directors Member	2/2007	8/2017	
6	Eskenazi Health	See Endnote	Indianapolis, Indiana	Health Care Facilities	Anesthesiologist	1/2008	9/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	State of Indiana	N/A		Salary	\$132,937
2	Indiana University School of Medicine/IU Health Physicians	N/A		Salary	\$250,517
3	Individual Retirement Rollover Account (IRRA) #1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	US Brokerage Account (Cash Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Wells Fargo Large Cap Core Fund Inst (EGOIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.3	Prudential Jennison Growth Fund Class Z (PJFZX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.4	JHancock Disciplined Value Fund Class I (JVLIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.5	Dreyfus International Equity Fund Class I (DIERX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.6	Dreyfus Structured Midcap Fund Class I (DPSRX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.7	Catalyst/Millburn Hedge Strategy I (MBXIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.8	Westwood SmallCap Institutional (WHGSX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.9	Baron Emerging Markets Retail (BEXFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.10	Neuberger Berman International Eq Trst Fund (NIQTX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	Individual Retirement Rollover Account (IRRA) #2	No			
4.1	AMG Southern Sun U.S. Equity Fund (SSEIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	AMG Times Square Small Cap Growth Fund (TSCPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	Brown Advisory Growth Equity Fund (BIAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	Causeway International Value Fund (CIVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	Columbia Contrarian Core Fund (SMGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	Deutsche Global Real Estate Securities Fund (RRGAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	Europacific Growth Fund Class F2 (AEPFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	JP Morgan Mid Cap Value Fund (FLMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	Hartford MidCap Fund (HFMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	John Hancock Disciplined Value Fund (JVLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	JPMorgan Large Cap Core Plus Fund (JLPSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	Lazard Emerging Markets Equity Portfolio Institutional (LZEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	MFS International Growth Fund Class I (MQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	MFS Research Fund Class A (MFRFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.15	Victory Trivalent International Small Cap Fund Class Y (MYSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.16	Victory Integrity Small Cap Value Fund Class Y (VSVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.17	AQR Managed Futures Strategy Fund (AQMNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.18	Freedom SEI US Managed Volatility Fund Class Y (SUSYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	IRA #1	No			
5.1	US Brokerage Account (Cash Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2	JHancock Regional Bank Fund Class I (JRBFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.3	Lazard Global Listed Infrastructure Inst (GLIFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.4	Catalyst/Millburn Hedge Strategy Fund Class I (MBXIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Individual Retirement Rollover Account (IRRA) #3	No			
6.1	US Brokerage Account (Cash Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Individual Retirement Rollover Account (IRRA) #4	No			
7.1	US Brokerage Account (Cash Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	State of Indiana Public Employee Deferred Compensation Plan (457(b) Plan)	No			
8.1	Indiana 2035 Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	Indiana Public Retirement System - My Choice Retirement Savings Plan	No			
9.1	2040 Retirement Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
10	Indiana University Retirement Plan	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1	Fidelity International Capital Appreciation Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.2	Fidelity Emerging Markets Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.3	Fidelity International Discovery Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.4	Fidelity Small Cap Discovery Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.5	Fidelity Mid Cap Stock Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.6	Fidelity Blue Chip Growth Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.7	Fidelity Contrafund	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.8	Fidelity Equity Income Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.9	Fidelity Total Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	Indiana University Health Physicians Retirement Savings Plan	No			
11.1	Vanguard Retirement Target 2045 Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	MetWest Total Return Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.3	American Beacon Large Cap Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.4	Vanguard Institutional Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.5	American Funds AMCAP Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.6	Victory Munder Mid Cap Core Growth Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.7	Fidelity Advisor Small Cap Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.8	American Funds Euro Pacific Growth Fund Class R6	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	State of Indiana	Indianapolis, Indiana	I will retain my State of Indiana 457(b) Public Employee Deferred Compensation Plan. The Plan sponsor will no longer make contributions after I leave this position.	10/2014
2	State of Indiana	Indianapolis, Indiana	I will retain my State of Indiana 401(a) Public Employee Deferred Compensation Matching Plan. The Plan sponsor will no longer make contributions after I leave this position.	10/2014
3	State of Indiana	Indianapolis, Indiana	I will retain my Indiana Public Retirement System - My Choice Retirement Savings Plan. The Plan sponsor will no longer make contributions after I leave this position.	10/2014
4	Indiana University	Indianapolis, Indiana	I will retain my Indiana University Retirement Plan. The Plan sponsor will no longer make contributions after I leave this position.	1/2008
5	Indiana University	Indianapolis, Indiana	I will retain my Indiana University Health Physicians Retirement Savings Plan. The Plan sponsor will no longer make contributions after I leave this position.	7/2015

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1	No			
1.1	Federated Kaufmann Large Cap Fund Class C (KLCCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	IRA #2	No			
2.1	US Brokerage Account (Cash Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Bank of America Corp. (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	Baron Growth Fund Retail Class (BGRFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	First Eagle Fund of America (FEFAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Transamerica Global Equity Fund (TMUIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US bank account #1 (Cash Account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	US Money Market Account (Cash Account)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	US bank account #2 (Cash Account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Lincoln Variable Life Policy	No			
4.1	Lincoln (LVIP) Baron Growth Opportunities Svc Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Lincoln (LVIP) Global Income Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	Lincoln (LVIP) Clarion Global Real Estate Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	Lincoln (LVIP) JPMorgan Select Mid Cap Value Managed Volatility Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	American Funds Insurance Series Growth Income Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	American Funds Insurance Series International Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	Delaware VIP High Yield Series	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	Fidelity VIP Contrafund Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	Lincoln (LVIP) Delaware Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	Lincoln (LVIP) Government Money Market Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	MFS VIT Utilities Series	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.12	Delaware VIP Diversified Income Series	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	Delaware VIP Emerging Markets Series	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	Delaware VIP Limited-Term Diversified Income Series	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.15	Fidelity VIP Mid Cap Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.16	Franklin Mutual Shares VIP Fund Class 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	Indiana CollegeChoice Advisor 529 Savings Plan #1	No			
5.1	College Choice 2028 Enrollment Portfolio Class C	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	Indiana CollegeChoice Advisor 529 Savings Plan #2	No			
6.1	College Choice 2022 Enrollment Portfolio Class C	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	Indiana CollegeChoice Advisor 529 Savings Plan #3	No			
7.1	College Choice 2025 Enrollment Portfolio Class C	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	US Brokerage Account #1 (Family Revocable Living Trust)	No			
8.1	US Brokerage Account (Cash Account)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.2	Columbia High Yield Municipal Fund (SRHMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.3	Federated Kaufmann Large Cap Fund Institutional Shares (KLCIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.4	Oakmark International Fund (OAKIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.5	Prudential National Municipals Fund (DNMZX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.6	Thornburg Limited Term Municipal Fund (LTMFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	US bank account #3 (Cash Account)	N/A	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	SEAGATE TECHNOLOGY PLS SHS (STX)	Sale	09/05/2017	\$1,001 - \$15,000
2	WESTERN DIGITAL CORPORATION (WDC)	Sale	09/05/2017	\$1,001 - \$15,000
3	Flex Limited ORD (FLEX)	Sale	09/05/2017	\$1,001 - \$15,000
4	TE CONNECTIVITY LIMITED REG SHS. (TEL)	Sale	09/05/2017	\$1,001 - \$15,000
5	BROADCOM LIMITED SHS (AVGO)	Sale	09/05/2017	\$1,001 - \$15,000
6	MEDTRONIC PLC SHS (MDT)	Sale	09/05/2017	\$1,001 - \$15,000
7	INGERSOLL-RAND PLS SHS (IR)	Sale	09/05/2017	\$1,001 - \$15,000
8	JOHNSON CONTROLS INTERNATIONAL PLC SHS (JCI)	Sale	09/05/2017	\$1,001 - \$15,000
9	WEATHERFORD INTERNATIONAL PLC ORD SHS (WFT)	Sale	09/05/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
10	WESTPAC BKG CORPORATION SPONSORED ADR (WBK)	Sale	09/05/2017	\$1,001 - \$15,000
11	AON PLC SHS CL A (AON)	Sale	09/05/2017	\$1,001 - \$15,000
12	DAIMIER CHRYSLER (DDAIF)	Sale	09/05/2017	\$1,001 - \$15,000
13	XCEL ENERGY INCORPORATED (XEL)	Sale	09/05/2017	\$1,001 - \$15,000
14	ALLERGAN PLC SHS (AGN)	Sale	09/05/2017	\$1,001 - \$15,000
15	AMDOCS LIMITED SHS (DOX)	Sale	09/05/2017	\$1,001 - \$15,000
16	EATON CORPORATION PLC SHS (ETN)	Sale	09/05/2017	\$1,001 - \$15,000
17	WABCO HLDGS INCORPORATED (WBC)	Sale	09/05/2017	\$1,001 - \$15,000
18	WELLTOWER INCORPORATED REIT (HCN)	Sale	09/05/2017	\$1,001 - \$15,000
19	WEC ENERGY GROUP INCORPORATED (WEC)	Sale	09/05/2017	\$1,001 - \$15,000
20	VINCI S A ADR (VCISY)	Sale	09/05/2017	\$1,001 - \$15,000
21	VODAFONE GROUP PLC NEW SPONSORED ADR (VOD)	Sale	09/05/2017	\$1,001 - \$15,000
22	VALVOLINE INCORPORATED (VVV)	Sale	09/05/2017	\$1,001 - \$15,000
23	VERTEX PHARMACEUTICALS INCORPORATED (VRTX)	Sale	09/05/2017	\$1,001 - \$15,000
24	VERIZON COMMUNICATIONS INCORPORATED (VZ)	Sale	09/05/2017	\$1,001 - \$15,000
25	Altria Group Inc	Sale	09/05/2017	\$1,001 - \$15,000
26	Activision Blizzard, Inc - Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
27	UNUM GROUP (UNM)	Sale	09/05/2017	\$1,001 - \$15,000
28	UNITED PARCEL SERVICE INCORPORATED CLASS B (UPS)	Sale	09/05/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
29	UNITED HEALTH GROUP INCORPORATED (UNH)	Sale	09/05/2017	\$1,001 - \$15,000
30	Allstate Corp	Sale	09/05/2017	\$1,001 - \$15,000
31	UNILEVER PLC SPON ADR NEW (UL)	Sale	09/05/2017	\$1,001 - \$15,000
32	Allianz SE SP ADR (AZSEY)	Sale	09/05/2017	\$1,001 - \$15,000
33	UNIBAIL-RODAMCO SE ADR REP JCE 08 (UNRDY)	Sale	09/05/2017	\$1,001 - \$15,000
34	AMC Networks Inc. - Class A Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
35	TWITTER INCORPORATED (TWTR)	Sale	09/05/2017	\$1,001 - \$15,000
36	TOTAL S SPONSORED ADR (TOT)	Sale	09/05/2017	\$1,001 - \$15,000
37	TERNA RETE ELETTRICA NAZIONALE ADR (TEZNY)	Sale	09/05/2017	\$1,001 - \$15,000
38	Workday incorporated class (WDAY)	Sale	09/05/2017	\$1,001 - \$15,000
39	TEXAS INSTRS INCORPORATED (TXN)	Sale	09/05/2017	\$1,001 - \$15,000
40	TAIWAN SEMICONDUCTOR MFG LIMITED SPONSORED ADR (TSM)	Sale	09/05/2017	\$1,001 - \$15,000
41	SVENSKA HANDELSBANKEN AB ADR (SVNLY)	Sale	09/05/2017	\$1,001 - \$15,000
42	SWISSCOM AG SPONSORED ADR (SCMWY)	Sale	09/05/2017	\$1,001 - \$15,000
43	Visa Inc	Sale	09/05/2017	\$1,001 - \$15,000
44	STATOIL ASA SPONSORED ADR (STO)	Sale	09/05/2017	\$1,001 - \$15,000
45	SUNTRUST BKS INCORPORATED (STI)	Sale	09/05/2017	\$1,001 - \$15,000
46	STEEL DYNAMICS INCORPORATED (STLD)	Sale	09/05/2017	\$1,001 - \$15,000
47	NVIDIA Corporation - Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
48	Lauder Estee companies incorporated class A (EL)	Sale	09/05/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
49	STANLEY BLACK & DECKER (SWK)	Sale	09/05/2017	\$1,001 - \$15,000
50	Red Hat Inc	Sale	09/05/2017	\$1,001 - \$15,000
51	SKY PLC SPONSORED ADR (SKYAY)	Sale	09/05/2017	\$1,001 - \$15,000
52	Vertex Pharmaceuticals Inc (VRTX)	Sale	09/05/2017	\$1,001 - \$15,000
53	ROBERT HALF INTERNATIONAL INCORPORATED (RHI)	Sale	09/05/2017	\$1,001 - \$15,000
54	Tesla Motors, Inc. - Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
55	SCOR SPONSORED ADR (SCRYY)	Sale	09/05/2017	\$1,001 - \$15,000
56	Tencent Hldgs Limited ADR (Cayman Islands) (TCEHY)	Sale	09/05/2017	\$1,001 - \$15,000
57	ROCHE HLDG LIMITED SPONSORED ADR (RHHBY)	Sale	09/05/2017	\$1,001 - \$15,000
58	McDonalds corporation (McD)	Sale	09/05/2017	\$1,001 - \$15,000
59	SSE PLC SPONSORED ADR (SSEZY)	Sale	09/05/2017	\$1,001 - \$15,000
60	Salesforce Com incorporated (CRM)	Sale	09/05/2017	\$1,001 - \$15,000
61	SANOFI SPONSORED ADR (SNY)	Sale	09/05/2017	\$1,001 - \$15,000
62	Splunk Inc. - Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
63	SLM CORPORATION (SLM)	Sale	09/05/2017	\$1,001 - \$15,000
64	SL GREEN RLTY CORPORATION REIT (SLG)	Sale	09/05/2017	\$1,001 - \$15,000
65	priceline GRP Incorporated (PCLN)	Sale	09/05/2017	\$1,001 - \$15,000
66	REINSURANCE GROUP AMER INCORPORATED COM NEW (RGA)	Sale	09/05/2017	\$1,001 - \$15,000
67	Regeneron Pharmaceuticals Inc	Sale	09/05/2017	\$1,001 - \$15,000
68	Parker-Hannifin Corp	Sale	09/05/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
69	ROYAL DUTCH SHELL PLC SPONS ADR A (RDS.A)	Sale	09/05/2017	\$1,001 - \$15,000
70	Illumina, Inc. - Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
71	NetFlix Inc	Sale	09/05/2017	\$1,001 - \$15,000
72	RED ELECTRICA CORPORACION SA UNSPONSORED ADR (RDEIY)	Sale	09/05/2017	\$1,001 - \$15,000
73	Monster Beverage Corp	Sale	09/05/2017	\$1,001 - \$15,000
74	ROGERS COMMUNICATIONS INCORPORATED CLASS B (RCI)	Sale	09/05/2017	\$1,001 - \$15,000
75	Microsoft Corp	Sale	09/05/2017	\$1,001 - \$15,000
76	PROCTOR AND GAMBLE COMPANY (PG)	Sale	09/05/2017	\$1,001 - \$15,000
77	QUALCOMM INCORPORATED (QCOM)	Sale	09/05/2017	\$1,001 - \$15,000
78	Home Depot Inc (HD)	Sale	09/05/2017	\$1,001 - \$15,000
79	PHILIP MORRIS INTERNATIONAL INCORPORATED (PM)	Sale	09/05/2017	\$1,001 - \$15,000
80	FedEx Corp	Sale	09/05/2017	\$1,001 - \$15,000
81	PFIZER INCORPORATED (PFE)	Sale	09/05/2017	\$1,001 - \$15,000
82	PINNACLE WEST CAP CORPORATION	Sale	09/05/2017	\$1,001 - \$15,000
83	Marriott International - Class A Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
84	Goldman Sachs Group Inc	Sale	09/05/2017	\$1,001 - \$15,000
85	PPL CORPORATION (PPL)	Sale	09/05/2017	\$1,001 - \$15,000
86	Mastercard incorporated class A (MA)	Sale	09/05/2017	\$1,001 - \$15,000
87	PG&E Corporation (PCG)	Sale	09/05/2017	\$1,001 - \$15,000
88	Crown Castle Intl Corp	Sale	09/05/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
89	Nuance Communications, Inc. (NUAN)	Sale	09/05/2017	\$1,001 - \$15,000
90	JP Morgan Chase & Co	Sale	09/05/2017	\$1,001 - \$15,000
91	ORKLA A S SPON ADR A (ORKLY)	Sale	09/05/2017	\$1,001 - \$15,000
92	NOVARTIS A G SPONSORED ADR (NVS)	Sale	09/05/2017	\$1,001 - \$15,000
93	Fleetcor technologies inc (FLT)	Sale	09/05/2017	\$1,001 - \$15,000
94	NUCOR CORPORATION (NUE)	Sale	09/05/2017	\$1,001 - \$15,000
95	Concho Res Inc (CXO)	Sale	09/05/2017	\$1,001 - \$15,000
96	OCCIDENTAL PET CORPORATION (OXY)	Sale	09/05/2017	\$1,001 - \$15,000
97	Celgene Corporation - Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
98	NATIONAL GRID PLC SPONSORED ADR NE (NGG)	Sale	09/05/2017	\$1,001 - \$15,000
99	Facebook, Inc. - Class A Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
100	NESTLE S A SPONSORED ADR (NSRGY)	Sale	09/05/2017	\$1,001 - \$15,000
101	CHarter communications incorporated new class A (CHTR)	Sale	09/05/2017	\$1,001 - \$15,000
102	MUNICH RE GROUP UNSPONSORED (MURGY)	Sale	09/05/2017	\$1,001 - \$15,000
103	Costco Wholesale Corporation - Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
104	MARSH & MCLENNAN COMPANIES INCORPORATED (MMC)	Sale	09/05/2017	\$1,001 - \$15,000
105	Boeing Co	Sale	09/05/2017	\$1,001 - \$15,000
106	Bristol-Myers Squibb	Sale	09/05/2017	\$1,001 - \$15,000
107	MCDONALDS CORPORATION (MCD)	Sale	09/05/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
108	MICHELIN COMPAGNIE GENERALE DE ADR (MGDDY)	Sale	09/05/2017	\$1,001 - \$15,000
109	BioMarin Pharmaceutical Inc. - Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
110	Merck & Co Inc (MRK)	Sale	09/05/2017	\$1,001 - \$15,000
111	Masco Corp (MAS)	Sale	09/05/2017	\$1,001 - \$15,000
112	Alphabet Incorporated CAP Stk class A (GOOGL)	Sale	09/05/2017	\$1,001 - \$15,000
113	Amazon Com Inc (AMZN)	Sale	09/05/2017	\$1,001 - \$15,000
114	L3 TECHNOLOGIES INC (LLL)	Sale	09/05/2017	\$1,001 - \$15,000
115	Apple Inc. (AAPL)	Sale	09/05/2017	\$1,001 - \$15,000
116	LOEWS CORPORATION (L)	Sale	09/05/2017	\$1,001 - \$15,000
117	MANPOWER GROUP INC (MAN)	Sale	09/05/2017	\$1,001 - \$15,000
118	LABORATORY CORPORATION AMER HLDGS COM NEW (LH)	Sale	09/05/2017	\$1,001 - \$15,000
119	Alibaba Group HLDG Limited sponsored ADS (Cayman Islands) (BABA)	Sale	09/05/2017	\$1,001 - \$15,000
120	Alexion Pharmaceuticals Inc	Sale	09/05/2017	\$1,001 - \$15,000
121	Adobe Systems Inc	Sale	09/05/2017	\$1,001 - \$15,000
122	LIBERTY MEDIA CORP DELAWARE COM C SIRIUSXM (LSXMK)	Sale	09/05/2017	\$1,001 - \$15,000
123	Albemarle corporation (ALB)	Sale	09/05/2017	\$1,001 - \$15,000
124	Liberty Interactive Corporation - Series A (QVCA)	Sale	09/05/2017	\$1,001 - \$15,000
125	IRON MTN INC NEW REIT (IRM)	Sale	09/05/2017	\$1,001 - \$15,000
126	Adidas AG ADR (Germany) (ADDYY)	Sale	09/05/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
127	Alphabet inborportated CAP STK Class C (GOOG)	Sale	09/05/2017	\$1,001 - \$15,000
128	Activision Blizzard, Inc - Common Stock	Sale	09/05/2017	\$1,001 - \$15,000
129	IMPERIAL BRANDS PLC SPON ADR (IMBBY)	Sale	09/05/2017	\$1,001 - \$15,000
130	ISHARES TR RUS MDCP VAL ETF (IWS)	Sale	09/05/2017	\$1,001 - \$15,000
131	KIMBERLY CLARK CORP (KMB)	Sale	09/05/2017	\$1,001 - \$15,000
132	IONIS PHARMACEUTICALS INC (IONS)	Sale	09/05/2017	\$1,001 - \$15,000
133	IAC/InterActiveCorP (IAC)	Sale	09/05/2017	\$1,001 - \$15,000
134	Diamondback Energy incorporated (FANG)	Sale	09/05/2017	\$1,001 - \$15,000
135	GLAXOSMITHKLINE PLC SPONSORED ADR (GSK)	Sale	09/05/2017	\$1,001 - \$15,000
136	HUNTINGTON BANCSHARES INC (HBAN)	Sale	09/05/2017	\$1,001 - \$15,000
137	Deutsche telekom AG sponsored ADR (Germany)	Sale	09/05/2017	\$1,001 - \$15,000
138	Harris Corp Del (HRS)	Sale	09/05/2017	\$1,001 - \$15,000
139	DXC Technology company (DXC)	Sale	09/05/2017	\$1,001 - \$15,000
140	Ciitrix systems incorporated (CTXS)	Sale	09/05/2017	\$1,001 - \$15,000
141	Freeport McMoRan Inc Class B (FCX)	Sale	09/05/2017	\$1,001 - \$15,000
142	Fluor Corp New (FLR)	Sale	09/05/2017	\$1,001 - \$15,000
143	Crown Holdings Inc (CCK)	Sale	09/05/2017	\$1,001 - \$15,000
144	Exxon Mobil Corp (XOM)	Sale	09/05/2017	\$1,001 - \$15,000
145	Cree incorporated (CREE)	Sale	09/05/2017	\$1,001 - \$15,000
146	ENTERPRISE PRODUCTS PARTNERS L P (EPD)	Sale	09/05/2017	\$1,001 - \$15,000
147	Comcast corporation new class A (CMCSA)	Sale	09/05/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
148	FIDELITY nATL INFORMATION SVCS (FIS)	Sale	09/05/2017	\$1,001 - \$15,000
149	Brunswick corporation (BC)	Sale	09/05/2017	\$1,001 - \$15,000
150	Fifth Third Bancorp (FITB)	Sale	09/05/2017	\$1,001 - \$15,000
151	Cisco Systems Inc	Sale	09/05/2017	\$1,001 - \$15,000
152	ENERGEN CORP (EGN)	Sale	09/05/2017	\$1,001 - \$15,000
153	British Amern TOB PLC Sponsored ADR (United Kingdom) (BTI)	Sale	09/05/2017	\$1,001 - \$15,000
154	eBay Inc. (EBAY)	Sale	09/05/2017	\$1,001 - \$15,000
155	Borgwarner Inc	Sale	09/05/2017	\$1,001 - \$15,000
156	EDISON INTERNATIONAL (EIX)	Sale	09/05/2017	\$1,001 - \$15,000
157	ENTERGY CORP NEW (ETR)	Sale	09/05/2017	\$1,001 - \$15,000
158	Boston Properties Inc	Sale	09/05/2017	\$1,001 - \$15,000
159	Boston Scientific Corp	Sale	09/05/2017	\$1,001 - \$15,000
160	Duke Energy Corp New Com New (DUK)	Sale	09/05/2017	\$1,001 - \$15,000
161	East West Bancorp, Inc. (EWBC)	Sale	09/05/2017	\$1,001 - \$15,000
162	DOWDUPONT INC (DWDP)	Sale	09/05/2017	\$1,001 - \$15,000
163	Biogen incorporated (BIIB)	Sale	09/05/2017	\$1,001 - \$15,000
164	Axa SA Sponsored ADR (France) (AXAHY)	Sale	09/05/2017	\$1,001 - \$15,000
165	DOLBY LABORATORIES INC (DLB)	Sale	09/05/2017	\$1,001 - \$15,000
166	Auto desk incorporated (ADSK)	Sale	09/05/2017	\$1,001 - \$15,000
167	EQT Corporation (EQT)	Sale	09/05/2017	\$1,001 - \$15,000
168	Anadarko Pete corporation	Sale	09/05/2017	\$1,001 - \$15,000
169	DOMINION ENERGY INC (D)	Sale	09/05/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
170	Discover Financial Services (DFS)	Sale	09/05/2017	\$1,001 - \$15,000
171	Berry global group incorporated (BERY)	Sale	09/05/2017	\$1,001 - \$15,000
172	DISCOVERY COMMUNICATIONS NEW COM SER A (DISCA)	Sale	09/05/2017	\$1,001 - \$15,000
173	Arrow Electrs Incorporated (ARW)	Sale	09/05/2017	\$1,001 - \$15,000
174	DIAGEO P L C SPON ADR NEW (DEO)	Sale	09/05/2017	\$1,001 - \$15,000
175	DEUTSCHE POST AG SPONSORED ADR (DPSGY)	Sale	09/05/2017	\$1,001 - \$15,000
176	BAE Systems PLC Sponsored ADR (United Kingdom) (BAESY)	Sale	09/05/2017	\$1,001 - \$15,000
177	BCE incorporated COM NEW (Canada)(BCE)	Sale	09/05/2017	\$1,001 - \$15,000
178	Basf se sponsored ADR (Germany) (BASFY)	Sale	09/05/2017	\$1,001 - \$15,000
179	Andeavor (ANDV)	Sale	09/05/2017	\$1,001 - \$15,000
180	Astrazeneca plc sponsored ADR (United Kingdom) (AZN)	Sale	09/05/2017	\$1,001 - \$15,000
181	AMETEK Inc	Sale	09/05/2017	\$1,001 - \$15,000
182	Ameren Corp	Sale	09/05/2017	\$1,001 - \$15,000
183	Alliant Energy Corporation	Sale	09/05/2017	\$1,001 - \$15,000
184	Alleghany corporation del (Y)	Sale	09/05/2017	\$1,001 - \$15,000
185	AT&T Inc	Sale	09/05/2017	\$1,001 - \$15,000
186	AbbVie Inc.	Sale	09/05/2017	\$1,001 - \$15,000
187	Citrix Systems Inc	Sale	09/05/2017	\$1,001 - \$15,000
188	Wells Fargo Large Cap Core Fund - Class Inst (EGOIX)	Purchase	09/27/2017	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
189	Prudential Jennison Growth Fund Class Z (PJFZX)	Purchase	09/28/2017	\$50,001 - \$100,000
190	John Hancock Funds Disciplined Value Fund Class I (JVLIX)	Purchase	09/27/2017	\$50,001 - \$100,000
191	Neuberger Berman International Equity Fund Trust Class (NIQTX)	Purchase	09/28/2017	\$50,001 - \$100,000
192	Dreyfus International Equity Fund Class I (DIERX)	Purchase	09/27/2017	\$50,001 - \$100,000
193	Dreyfus Structured Midcap Fund Class I (DPSRX)	Purchase	09/27/2017	\$50,001 - \$100,000
194	Catalyst/Millburn Hedge Strategy Fund Class I (MBXIX)	Purchase	09/27/2017	\$50,001 - \$100,000
195	Westwood SmallCap Fund Institutional Class (WHGSX)	Purchase	09/27/2017	\$50,001 - \$100,000
196	Baron Emerging Markets Fund Retail Shares (BEXFX)	Purchase	09/28/2017	\$15,001 - \$50,000
197	Wells Fargo Large Cap Core Fund - Class Inst (EGOIX)	Purchase	11/16/2017	\$15,001 - \$50,000
198	John Hancock Funds Disciplined Value Fund Class I (JVLIX)	Purchase	11/16/2017	\$15,001 - \$50,000
199	Dreyfus International Equity Fund Class I (DIERX)	Purchase	11/16/2017	\$15,001 - \$50,000
200	Prudential Jennison Growth Fund Class Z (PJFZX)	Purchase	11/16/2017	\$15,001 - \$50,000
201	Neuberger Berman International Equity Fund Trust Class (NIQTX)	Purchase	11/16/2017	\$15,001 - \$50,000
202	Dreyfus Structured Midcap Fund Class I (DPSRX)	Purchase	11/16/2017	\$15,001 - \$50,000
203	Catalyst/Millburn Hedge Strategy Fund Class I (MBXIX)	Purchase	11/16/2017	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
204	Westwood SmallCap Fund Institutional Class (WHGSX)	Purchase	11/16/2017	\$15,001 - \$50,000
205	Baron Emerging Markets Fund Retail Shares (BEXFX)	Purchase	11/16/2017	\$1,001 - \$15,000
206	Baron Emerging Markets Fund Retail Shares (BEXFX)	Purchase	11/17/2017	\$1,001 - \$15,000
207	American Funds EuroPacific Growth Fund® Class F-2 (AEPFX)	Purchase	11/17/2017	\$1,001 - \$15,000
208	John Hancock Regional Bank Fund Class I (JRBFX)	Purchase	09/29/2017	\$15,001 - \$50,000
209	Lazard Global Listed Infrastructure Portfolio Institutional Shares (GLIFX)	Purchase	09/28/2017	\$15,001 - \$50,000
210	Catalyst/Millburn Hedge Strategy Fund Class I (MBXIX)	Purchase	09/28/2017	\$1,001 - \$15,000
211	SEI Institutional Managed Trust U.S. Managed Volatility Fund Class Y (SUSYX)	Purchase	11/17/2017	\$1,001 - \$15,000
212	Dreyfus International Equity Fund Class I (DIERX)	Purchase	12/28/2017	\$1,001 - \$15,000
213	TE Connectivity Limited (TEL)	Sale	09/05/2017	\$1,001 - \$15,000
214	Broadcom Limited (AVGO)	Sale	09/05/2017	\$1,001 - \$15,000
215	Texas Instruments Inc	Sale	09/05/2017	\$1,001 - \$15,000
216	United Health Group (UNH)	Sale	09/05/2017	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	SunTrust	Mortgage on Personal Residence	\$250,001 - \$500,000	2012	3.5%	30 years
2	Bank of Indianapolis	Home Equity Line of Credit on Personal Residence	\$100,001 - \$250,000	2012	4%	5 years
3	Navient Corp.	Student Loan	\$15,001 - \$50,000	2002	3.5%	21 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	6	Eskenazi position part of duties of Indiana Univ. position

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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).
