

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Rosen, Jeffrey A

Deputy Secretary, Department of Transportation

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/ Rosen, Jeffrey A [electronically signed on 06/27/2017 by Rosen, Jeffrey A 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/ Kaleta, Judith, Certifying Official [electronically signed on 09/14/2017 by Kaleta, Judith in Integrity.gov]

Other review conducted by

/s/ Herr, Ellen A, Ethics Official [electronically signed on 07/27/2017 by Herr, Ellen A in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 10/11/2017 by Skalla, Daniel L in Integrity.gov]

Data Revised 06/28/2017

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(06/28/2017, Herr, Ellen A): The transactions in this report should not be considered late as the Filer had technical difficulties with transferring his profile in Integrity from Nominee to PAS which were finally resolved by the Agency on June 22, 2017.

Transactions

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
1	AB Discovery Growth Fund - ADV	Purchase	06/05/17	No	\$1,001 - \$15,000
2	AB Discovery Value Fund - ADV	Purchase	06/05/17	No	\$1,001 - \$15,000
3	AB Large Cap Growth Fund - ADV	Purchase	06/05/17	No	\$250,001 - \$500,000
4	AB Value Fund - ADV	Purchase	06/05/17	No	\$250,001 - \$500,000
5	Berstein Diversified Municipal Portfolio	Purchase	06/05/17	No	\$15,001 - \$50,000
6	Bernstein Emerging Markets Portfolio	Purchase	06/05/17	No	\$1,001 - \$15,000
7	Tax-Aware Overlay A Portfolio Class 1	Purchase	06/05/17	No	\$15,001 - \$50,000
8	Berstein Diversified Municipal Portfolio	Purchase	05/19/17	Yes	\$1,001 - \$15,000
9	Bernstein Diversified Municipal Portfolio	Purchase	04/20/17	Yes	\$1,001 - \$15,000
10	AB Small Cap Core Portfolio ADV CL	Sale	06/05/17	No	\$15,001 - \$50,000
11	Adobe Systems Inc	Sale	06/05/17	No	\$1,001 - \$15,000
12	Aetna Inc	Sale	06/05/17	No	\$1,001 - \$15,000
13	Alexion Pharmaceuticals Inc	Sale	06/05/17	No	\$1,001 - \$15,000
14	Allstate Corp	Sale	06/05/17	No	\$1,001 - \$15,000
15	Altria Group Inc	Sale	06/05/17	No	\$1,001 - \$15,000
16	American Electric Power	Sale	06/05/17	No	\$1,001 - \$15,000
17	American International Group	Sale	06/05/17	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
18	Bank of America Corp	Sale	06/05/17	No	\$15,001 - \$50,000
19	Bernstein Tax-Managed International Portfolio	Sale	06/05/17	No	\$1,001 - \$15,000
20	Biogen Inc	Sale	06/05/17	No	\$1,001 - \$15,000
21	Capital One Financial	Sale	06/05/17	No	\$1,001 - \$15,000
22	CBS Corp-Class B Non voting	Sale	06/05/17	No	\$1,001 - \$15,000
23	Cigna Corporation	Sale	06/05/17	No	\$1,001 - \$15,000
24	Cisco Systems Inc	Sale	06/05/17	No	\$1,001 - \$15,000
25	Comcast Corporation - Class A Common Stock	Sale	06/05/17	No	\$15,001 - \$50,000
26	Conagra Brands Inc	Sale	06/05/17	No	\$1,001 - \$15,000
27	CVS Health Corp	Sale	06/05/17	No	\$1,001 - \$15,000
28	Costco Wholesale Corp	Sale	06/05/17	No	\$1,001 - \$15,000
29	Discover Financial Services	Sale	06/05/17	No	\$1,001 - \$15,000
30	Dollar General Corp	Sale	06/05/17	No	\$1,001 - \$15,000
31	Dr Pepper Snapple Group	Sale	06/05/17	No	\$1,001 - \$15,000
32	DXC Technology Co.	Sale	06/05/17	No	\$1,001 - \$15,000
33	Eaton Corp PLC	Sale	06/05/17	No	\$1,001 - \$15,000
34	eBay Inc.	Sale	06/05/17	No	\$1,001 - \$15,000
35	Edison Intl	Sale	06/05/17	No	\$1,001 - \$15,000
36	Edwards Lifesciences Corp	Sale	06/05/17	No	\$1,001 - \$15,000
37	Facebook, Inc. - Class A Common Stock	Sale	06/05/17	No	\$15,001 - \$50,000
38	Fiserv Inc	Sale	06/05/17	No	\$1,001 - \$15,000
39	Gilead Sciences Inc	Sale	06/05/17	No	\$1,001 - \$15,000
40	Halliburton Co	Sale	06/05/17	No	\$1,001 - \$15,000
41	Helmerich & Payne Inc	Sale	06/05/17	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
42	Hewlett-Packard Co	Sale	06/05/17	No	\$1,001 - \$15,000
43	HP Inc.	Sale	06/05/17	No	\$1,001 - \$15,000
44	Intel Corp	Sale	06/05/17	No	\$1,001 - \$15,000
45	International Business Machines Corp	Sale	06/05/17	No	\$1,001 - \$15,000
46	Intuitive Surgical Inc	Sale	06/05/17	No	\$1,001 - \$15,000
47	Johnson & Johnson	Sale	06/05/17	No	\$1,001 - \$15,000
48	JP Morgan Chase & Co	Sale	06/05/17	No	\$1,001 - \$15,000
49	Kroger Co	Sale	06/05/17	No	\$1,001 - \$15,000
50	McKesson Corp	Sale	06/05/17	No	\$1,001 - \$15,000
51	Merck & Co Inc	Sale	06/05/17	No	\$1,001 - \$15,000
52	Microsoft Corp	Sale	06/05/17	No	\$15,001 - \$50,000
53	Nielsen Holdings PLC	Sale	06/05/17	No	\$1,001 - \$15,000
54	Nike Inc Class B	Sale	06/05/17	No	\$1,001 - \$15,000
55	Nisource Inc	Sale	06/05/17	No	\$1,001 - \$15,000
56	Onemain Holdings Inc	Sale	06/05/17	No	\$1,001 - \$15,000
57	Oracle Corp	Sale	06/05/17	No	\$1,001 - \$15,000
58	Oshkosh Corp	Sale	06/05/17	No	\$1,001 - \$15,000
59	Palo Alto Networks Inc	Sale	06/05/17	No	\$1,001 - \$15,000
60	PepsiCo Inc	Sale	06/05/17	No	\$1,001 - \$15,000
61	Pfizer Inc	Sale	06/05/17	No	\$1,001 - \$15,000
62	The Priceline Group Inc. - Common Stock	Sale	06/05/17	No	\$1,001 - \$15,000
63	Progressive Corp	Sale	06/05/17	No	\$1,001 - \$15,000
64	Ross Stores Inc	Sale	06/05/17	No	\$1,001 - \$15,000
65	Schlumberger Ltd	Sale	06/05/17	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
66	Sealed Air Corp	Sale	06/05/17	No	\$1,001 - \$15,000
67	Starbucks Corp	Sale	06/05/17	No	\$1,001 - \$15,000
68	Synchrony Financial	Sale	06/05/17	No	\$1,001 - \$15,000
69	T-Mobile US Inc	Sale	06/05/17	No	\$1,001 - \$15,000
70	Texas Instruments Inc	Sale	06/05/17	No	\$1,001 - \$15,000
71	Tyson Foods Inc A	Sale	06/05/17	No	\$1,001 - \$15,000
72	Unitedhealth Group Inc	Sale	06/05/17	No	\$1,001 - \$15,000
73	US Bancorp	Sale	06/05/17	No	\$1,001 - \$15,000
74	Verizon Communications Inc	Sale	06/05/17	No	\$1,001 - \$15,000
75	Visa Inc	Sale	06/05/17	No	\$15,001 - \$50,000
76	Walt Disney Co	Sale	06/05/17	No	\$1,001 - \$15,000
77	Wells Fargo & Co	Sale	06/05/17	No	\$15,001 - \$50,000
78	Xerox Corp	Sale	06/05/17	No	\$1,001 - \$15,000
79	Xilinx Inc	Sale	06/05/17	No	\$1,001 - \$15,000
80	Devon Energy Corp	Sale	05/22/17	No	\$1,001 - \$15,000
81	Dow Chemical	Sale	05/22/17	No	\$1,001 - \$15,000
82	EOG Resources Inc	Sale	05/22/17	No	\$1,001 - \$15,000
83	Hess Corp	Sale	05/22/17	No	\$1,001 - \$15,000
84	Home Depot Inc	Sale	05/22/17	No	\$15,001 - \$50,000
85	L3 Technologies Inc	Sale	05/22/17	No	\$1,001 - \$15,000
86	Magna International Inc	Sale	05/22/17	No	\$1,001 - \$15,000
87	United Technologies Corp	Sale	05/22/17	No	\$1,001 - \$15,000
88	Cisco Systems Inc	Sale	05/22/17	No	\$15,001 - \$50,000
89	Vanguard Energy Index Fund Admiral Shares	Sale	05/22/17	No	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
90	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares	Purchase	05/22/17	No	\$15,001 - \$50,000
91	NORFOLK VA AIRPORT AUTHORITY REVENUE REFUNDING 4.500% 07/01/31	Sale	05/19/17	Yes	\$1,001 - \$15,000
92	Chevron Corp	Sale	05/19/17	Yes	\$1,001 - \$15,000
93	Conoco Phillips Company	Sale	05/19/17	Yes	\$1,001 - \$15,000
94	EQT Corporation	Sale	05/19/17	Yes	\$1,001 - \$15,000
95	iShares MSCI Japan ETF New	Sale	05/19/17	Yes	\$15,001 - \$50,000
96	Noble Energy Inc	Sale	05/19/17	Yes	\$1,001 - \$15,000
97	Allergan Inc	Sale	05/22/17	No	\$1,001 - \$15,000
98	Aon PLC	Sale	05/22/17	No	\$1,001 - \$15,000
99	Eaton Corp PLC	Sale	05/22/17	No	\$1,001 - \$15,000
100	Invesco Ltd	Sale	05/22/17	No	\$1,001 - \$15,000
101	Johnson Controls Inc	Sale	05/22/17	No	\$1,001 - \$15,000
102	Medtronic Inc	Sale	05/22/17	No	\$1,001 - \$15,000
103	Nielsen Holdings PLC	Sale	05/22/17	No	\$1,001 - \$15,000
104	Royal Caribbean Cruises Ltd	Sale	05/22/17	No	\$1,001 - \$15,000
105	Broadcom Ltd Corp	Sale	05/22/17	No	\$1,001 - \$15,000
106	AT&T Inc	Sale	05/22/17	No	\$1,001 - \$15,000
107	Abbott Laboratories	Sale	05/22/17	No	\$1,001 - \$15,000
108	Activision Blizzard, Inc - Common Stock	Sale	05/22/17	No	\$1,001 - \$15,000
109	Akamai Technologies Inc	Sale	05/22/17	No	\$1,001 - \$15,000
110	Alexion Pharmaceuticals Inc	Sale	05/22/17	No	\$1,001 - \$15,000
111	American Tower Corp A	Sale	05/22/17	No	\$1,001 - \$15,000
112	Anthem Inc.	Sale	05/22/17	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
113	Bank New York Mellon Corp	Sale	05/22/17	No	\$1,001 - \$15,000
114	Biogen Idec Inc	Sale	05/22/17	No	\$1,001 - \$15,000
115	BlackRock Inc	Sale	05/22/17	No	\$1,001 - \$15,000
116	Bristol-Myers Squibb	Sale	05/22/17	No	\$1,001 - \$15,000
117	Cigna Corporation	Sale	05/22/17	No	\$1,001 - \$15,000
118	CVS Health Corp	Sale	05/22/17	No	\$1,001 - \$15,000
119	Canadian Natural Resources Ltd	Sale	05/22/17	No	\$1,001 - \$15,000
120	Cardinal Health Inc	Sale	05/22/17	No	\$1,001 - \$15,000
121	Celgene Corp	Sale	05/22/17	No	\$1,001 - \$15,000
122	Citigroup Inc	Sale	05/22/17	No	\$15,001 - \$50,000
123	Coach Inc	Sale	05/22/17	No	\$1,001 - \$15,000
124	Comcast Corporation - Class A Common Stock	Sale	05/22/17	No	\$15,001 - \$50,000
125	Cooper Cos Inc	Sale	05/22/17	No	\$1,001 - \$15,000
126	Walt Disney Co	Sale	05/22/17	No	\$1,001 - \$15,000
127	Dun & Bradstreet Corp	Sale	05/22/17	No	\$1,001 - \$15,000
128	Edison Intl	Sale	05/22/17	No	\$1,001 - \$15,000
129	Electronic Arts	Sale	05/22/17	No	\$1,001 - \$15,000
130	Expedia	Sale	05/22/17	No	\$1,001 - \$15,000
131	Facebook, Inc. - Class A Common Stock	Sale	05/22/17	No	\$15,001 - \$50,000
132	Fidelity National Information Services Inc	Sale	05/22/17	No	\$1,001 - \$15,000
133	JP Morgan Chase & Co.	Sale	05/22/17	No	\$15,001 - \$50,000
134	Johnson & Johnson	Sale	05/22/17	No	\$1,001 - \$15,000
135	Kroger Co	Sale	05/22/17	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
136	Liberty Interactive Corporation - Series A Liberty Interactive Common Stock	Sale	05/22/17	No	\$1,001 - \$15,000
137	Marriott Intl A	Sale	05/22/17	No	\$15,001 - \$50,000
138	Mastercard Inc A	Sale	05/22/17	No	\$1,001 - \$15,000
139	McDonald's Corp	Sale	05/22/17	No	\$1,001 - \$15,000
140	The Michaels Companies, Inc. - Common Stock	Sale	05/22/17	No	\$1,001 - \$15,000
141	Microsoft Corp	Sale	05/22/17	No	\$15,001 - \$50,000
142	Monsanto Co.	Sale	05/22/17	No	\$1,001 - \$15,000
143	Morgan Stanley	Sale	05/22/17	No	\$15,001 - \$50,000
144	Newell Rubbermaid Inc	Sale	05/22/17	No	\$1,001 - \$15,000
145	PVH Corp	Sale	05/22/17	No	\$1,001 - \$15,000
146	Palo Alto Networks Inc	Sale	05/22/17	No	\$1,001 - \$15,000
147	PepsiCo Inc	Sale	05/22/17	No	\$1,001 - \$15,000
148	Pfizer Inc	Sale	05/22/17	No	\$1,001 - \$15,000
149	Philip Morris International	Sale	05/22/17	No	\$15,001 - \$50,000
150	S&P Global Inc	Sale	05/22/17	No	\$1,001 - \$15,000
151	Schlumberger Ltd	Sale	05/22/17	No	\$1,001 - \$15,000
152	Sherwin-Williams Co	Sale	05/22/17	No	\$1,001 - \$15,000
153	Starbucks Corp	Sale	05/22/17	No	\$1,001 - \$15,000
154	Stericycle Inc	Sale	05/22/17	No	\$1,001 - \$15,000
155	Verizon Communications Inc	Sale	05/22/17	No	\$1,001 - \$15,000
156	Vertex Pharmaceuticals Inc	Sale	05/22/17	No	\$1,001 - \$15,000
157	Walgreens Boots Alliance Inc	Sale	05/22/17	No	\$1,001 - \$15,000
158	Wells Fargo & Co	Sale	05/22/17	No	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
159	Zimmer Biomet Holdings Inc.	Sale	05/22/17	No	\$1,001 - \$15,000
160	Columbia Contrarian Core Fund Class Z	Purchase	06/05/17	No	\$250,001 - \$500,000
161	Delaware Emerging Markets Fund CI Instl CI	Purchase	06/05/17	No	\$15,001 - \$50,000
162	Natixis Loomis Sayles Growth Fund CI Y	Purchase	06/05/17	No	\$50,001 - \$100,000
163	Oppenheimer International Growth Y	Purchase	06/05/17	No	\$15,001 - \$50,000
164	Vanguard FTSE Developed Markets ETF	Purchase	06/05/17	No	\$50,001 - \$100,000

Endnotes

Summary of Contents

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

Privacy Act Statement

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

Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.
