

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

## Filer's Information

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**Shulkin, David J**

Secretary, Department of Veterans Affairs

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Other Federal Government Positions Held During the Preceding 12 Months:

Under Secretary for Health, US Department of Veteran Affairs (7/2015 - Present)

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Names of Congressional Committees Considering Nomination:

- **Committee on Veterans Affairs**
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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/ Shulkin, David J [electronically signed on 01/15/2017 by Shulkin, David J 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/ Jaynes, Mark, Certifying Official [electronically signed on 01/27/2017 by Jaynes, Mark in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

**/s/ Shaub, Walter M, Certifying Official [electronically signed on 01/27/2017 by Shaub, Walter M in Integrity.gov]**

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Atlantic Health System	Morristown NJ, New Jersey	Non-Profit	President, Morristown Medical Center	1/2010	7/2015
2	Control Rad, Inc	Radnor, Pennsylvania	Corporation	Board Member	6/2012	6/2015
3	Data Driven Delivery Systems	Las Vegas, Nevada	Corporation	Board Member	6/2012	6/2015
4	Francisco Partners	San Francisco, California	Corporation	Advisory Board Member	6/2014	6/2015
5	Stonebrook Risk Solutions	Encino, California	Corporation	Advisory Board Member	2/2014	5/2015
6	Hutchinson Biofilm Medical Solutions Ltd	Radnor, Pennsylvania	Corporation	Advisory Board Member	2/2014	6/2015
7	SpectraMD	East Windsor, New Jersey	Corporation	Advisory Board Member	2/2012	6/2015
8	e-health International Group	New York, New York	Corporation	Advisory Board Member	3/2012	1/2015
9	Riverside Partners LLC	Boston, Massachusetts	Corporation	Advisory Board Member	1/2012	6/2015
10	Open Doctor Inc	New York, New York	Corporation	Advisory Board Member	7/2009	6/2015
11	Foundation of the Morristown Medical Center	Morristown, New Jersey	Non-Profit	Board Member	1/2010	6/2015
12	Primary Care Partners of Atlantic Health System	Morristown, New Jersey	Corporation	President and Board Member	7/2012	6/2015
13	Atlantic Accountable Care Organization	Morristown, New Jersey	Non-Profit	President and Board Member	1/2011	6/2015
14	Optimus Accountable Care Orgaization	Summit, New Jersey	Corporation	Board Member	4/2012	6/2015

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
15	New Jersey Council of Teaching Hospitals	Trenton, New Jersey	Non-Profit	Chairman of the Board	4/2012	6/2015
16	Qualcare Inc	Piscataway, New Jersey	Corporation	Board Member	5/2012	2/2015
17	United Healthcare	Minneapolis, Minnesota	Corporation	Advisory Board Member	6/2012	6/2015
18	Merle Bari MD and Associates Inc	Gladwyne, Pennsylvania	Corporation	Vice President/Treasurer	6/2001	6/2015
19	Journal of Population Health Management	New Rochelle, New York	Journal	Editorial Board	6/2009	6/2015
20	Journal of Healthcare Quality	Malden, Massachusetts	Journal	Editorial Board	6/2010	6/2015
21	Jefferson Medical College	Philadelphia, Pennsylvania	University/College	Professor of Medicine	6/2014	6/2015
22	Mt. Sinai School of Medicine	New York, New York	University/College	Professor of Medicine	11/2010	6/2015
23	Health, Education, and Research Trust	Chicago, Illinois	Non-Profit	Senior Fellow	7/2009	6/2015
24	Institute of Population Health	Morristown, New Jersey	Non-Profit	Faculty member	12/2013	6/2015
25	Rowan University School of Osteopathic Medicine, Institute of Postgraduate Training	Stratford, New Jersey	University/College	Board Member	11/2004	6/2015
26	Health Advance	Weston, Massachusetts	Corporation	Industry Interviewee	2/2014	2/2015
27	Guidepoint Global	New York, New York	Corporation	Industry Interviewee	1/2010	1/2015
28	HIRC	Santa Cruz, California	Corporation	Industry Interviewee	12/2014	1/2015
29	Coleman Research Group	New York, New York	Corporation	Industry Interviewee	1/2012	1/2015
30	Care New England	Providence, Rhode Island	Non-Profit	Consultant for Case Review	8/2014	1/2015

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
31	Alpha Sights Inc	Livingston, New Jersey	Corporation	Industry Interviewee	1/2015	2/2015
32	Mendham Investment Group	Mendham, New Jersey	Angel Investor Group	Participant	11/2011	6/2015

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Control Rad, Inc. (radiation reduction technology) vested stock options (value not readily ascertainable; 56,647 vested shares, strike price \$0.06, expiration 11/1/2022)	N/A			None (or less than \$201)
2	SpectraMD, Inc. (medical outcomes software), vested stock options (value not readily ascertainable, 40,000 shares; strike price \$0.01, 10 yr exp)	N/A			None (or less than \$201)
3	Atlantic Health Met Life Employee 403B (Metlife Strategic Value Annuity (fixed option))	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
4	Atlantic Health Met Life System 403B (Metlife Strategic Value Annuity (fixed option))	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5	Electrocore Inc (nerve therapy) vested stock options (value not readily ascertainable; 5,000 vested shares, strike price \$2.75, no defined expiration date)	N/A			None (or less than \$201)
6	ImaCor, Inc. (cardiac devices) vested stock options (value not readily ascertainable, 30,000 vested shares, strike price \$0.03, 10 yr exp.)	N/A			None (or less than \$201)
7	Atlantic Health System 403 B Plan (fixed rate instrument)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
8	Data Driven Delivery Systems Stock (physician documentation company)	See Endnote	No	Dividends Capital Gains	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	Control Rad Inc. (radiation reduction technology) stock	N/A	\$100,001 - \$250,000		None (or less than \$201)
10	Questions Patients Need to Ask: Getting the Best Healthcare (Xlibris, Corp.) (value not readily ascertainable)	N/A			None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE	
1	Hutchinson Biofilm Medical Solutions Ltd	Radnor, Pennsylvania	For my work as an advisory board member prior to my appointment to a position at VA, my agreement with the company grants me stock options equal to .17% of the company once the options are issued.	6/2015	
2	SpectraMD	East Windsor, New Jersey	Will retain vested stock options awarded prior to the start of my work at VA. 40,000 shares at \$0.01.	4/2012	
3	Control Rad, Inc	Radnor, Pennsylvania	Will retain stock and vested stock options awarded prior to the start of my work at VA. 56,647 stock options, \$0.06/share; fully vested, expiration 11/1/22.	4/2013	
4	Atlantic Health System 403 B Holdings	See Endnote	Morristown, New Jersey	I maintain this account but no further contributions have been made to it following my resignation from Atlantic Health System on July 2, 2015.	1/2010
5	Electrocore Inc	Morris Plains, New Jersey	Will retain vested stock options awarded prior to the start of my work at VA. 5,000 units at \$2.75/unit.	5/2012	
6	ImaCor, Inc.	Garden City, New York	Will retain vested stock options awarded prior to the start of my work at VA. 30,000 shares at \$0.03 that were granted 7/11/12. Fifty percent vested on 7/11/14, 25% 7/11/15 and 25% 7/11/16. Ten year expiration.	7/2012	

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Moses Taylor Hospital	Scranton, Pennsylvania	Services for review of legal cases prior to federal employment
2	Burns White	Conshohocken, Pennsylvania	Services for review of legal cases prior to federal employment
3	Francisco Partners	San Francisco, California	Advisory Board Services prior to federal employment
4	Gross McGinley	Allentown, Pennsylvania	Services for review of legal cases prior to federal employment
5	McCumber Daniels	Tampa, Florida	Services for review of legal cases prior to federal employment
6	Hutchinson Biofil Medical Solutions Ltd	Radnor, Pennsylvania	Advisory services prior to federal employment
7	Atlantic Health System	Morristown, New Jersey	Employee pay prior to federal employment
8	Pinnacle Health	Harrisburg, Pennsylvania	Services for review of legal cases prior to federal employment
9	Control Rad Inc	Radnor, Pennsylvania	Board member duties prior to federal employment
10	Geisinger Health System	Danville, Pennsylvania	Services for review of legal cases prior to federal employment
11	Harrington Law	Warick, Rhode Island	Services for review of legal cases prior to federal employment
12	Peoples Security Insurance	Scranton, Pennsylvania	Services for review of legal cases prior to federal employment
13	United Central Pennsylvania Insurance	Burlington, Vermont	Services for review of legal cases prior to federal employment
14	Merle Bari MD and Associates Inc	Gladwyne, Pennsylvania	Payment for services prior to federal employment
15	Community Hospital Alternative forRisk	Upper St. Clair, Pennsylvania	Services for review of legal cases prior to federal employment

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Merle Bari MD and Associates Inc (dermatology practice)	N/A	\$100,001 - \$250,000	Salary and s-corp income	
2	Merle Bari MD and Associates SEP IRA				
2.1	AQR Managed Futures Strategy Fund Class I	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.2	BlackRock Funds II, Strategic Income Opportunities	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.3	Boston Partners Long/Short Research Fd Insti Cl	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
2.4	Dreyfus/Stadish Global Fixed Income Fund Class I	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.5	PIMCO Income Fund P Class	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.6	Templeton Global Bond Fund Advisor Class	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.7	Vanguard Market Neutral Fund Investor Shares	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.8	Vanguard Mid-Cap Value Index Fd Admiral	Yes	\$1,001 - \$15,000		\$201 - \$1,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
2	U.S. bank account #2 (cash)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
3	U.S. bank account #3 (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	U.S. bank account #4 (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
5	U.S. bank account #5 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
6	U.S. bank account #6 (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000
7	U.S. bank account #7 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
8	U.S. bank account #8 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
9	EverbankWorld Markets CD-tracks gold	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	U.S. bank account #9 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
11	U.S. bank account #10 (cash)	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
12	Amazon.com Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
13	Powershares Commodity Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	I shares S and P Commodity Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	Nabors Industries Ltd	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	Powershares Global Water ETF Trust G (PIO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	Powershares ETF TR II S and P SMCP Low Volatility XSLV	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Patterson UTI Energy	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Royal Dutch Shell PLC ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	Royal Bank of Canada	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
21	Bank of America stock Cap TR XIV Fixed to FLTG RT Hybrid Bond		N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
22	Mellon Capital IV stock Fix to FLTG Bond		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23	NELNET Inc Fixed to Fltg CAP Efficient Bond		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
24	Fifth Third Bancorp stock Dep SHS REPSTG	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
25	Everbank CD - tracks Metals		N/A	\$1,001 - \$15,000		None (or less than \$201)
26	PA 529 Conservative Income Portfolio Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)
27	MFS INTL NEW DISCOVERY CL 1		Yes	\$50,001 - \$100,000		\$201 - \$1,000
28	Russell R Global Equity CLS		Yes	\$15,001 - \$50,000		\$201 - \$1,000
29	Vanguard II Mid CAP Index Admiral CL		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
30	GUAM PWR Auth Rev Ser A bond		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
31	Pennsylvania St TPK CommN TPK REV SUB SER B bond		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
32	Denver CO City and CNTY AROT REV RFDG SYS SERV B B/E bond		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
33	New York City HSG DEV CORP MULTFAM HSG REV SER F B/E bond		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
34	New York City, NY bond		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
35	Bank of America stock CAP TR XIV PFD HYBRID INCOME TERM NOTE		N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
36	BANK AMERICA CORP stock DEP SHS REPSTG 1/25th preferred level debt		N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
37	CITIGROUP Inc stock 1/25th Perpetual NON CUMUL FXD preferred level debt		N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
38	FIFTH THIRD BANCORP DEP SHS REPSTG 1/25th preferred level debt	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
39	FIFTH THIRD BANCORP SR NOTE FXD/VAR CPN	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
40	GOLDMAN SACHS GROUP INC stock		N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
41	JP MORGAN CHASE stock DEP SHS REPSTG 1/10th preferred level debt		N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
42	MORGAN STANLEY REPSTG 1/25th NON CUMUL preferred level debt		N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
43	UBS JERSEY BRANCH EURO ISSUE BOND VAR		N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
44	GOLDMAN SACHS stock CAP II GTD NOTE VAR	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
45	MELLON CAP IV stock NORMAL PFD CAP SECS		N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
46	JP MORGAN CHASE AND CO DEP SHS REPSTG 1/10th preferred level debt	See Endnote	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
47	NELNET CAP EFFICIENT NOTE CENTS VAR		N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
48	GENWORTH FINL INC JR SUB NOTE FXD		N/A	\$15,001 - \$50,000	Interest	\$5,001 - \$15,000
49	TRANSCANADA PIPELINES LTD Jr SUB Note		N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
50	BASF		N/A	\$15,001 - \$50,000		None (or less than \$201)
51	Caterpillar INC		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
52	DEERE and Company		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
53	American Funds AMCAP CL F2	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
54	AMERICAN TAX EXCEPT BOND FUND OF AMERICA CL F2	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
55	DODGE AND COX GLOBAL STOCK	Yes	\$15,001 - \$50,000		\$201 - \$1,000
56	Eagle Small Cap Growth CL	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
57	FRANKLIN FEDERAL INTERMEDIATE TERM TAX FREE INCOME ADVISOR	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
58	American INTERNATIONAL GROWTH AND INCOME CL F2	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
59	MFS INTL NEW DISCOVERY CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
60	American NEW PERSPECTIVE CL F2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
61	NORTHERN SMALL CAP VALUE	Yes	\$1,001 - \$15,000		None (or less than \$201)
62	OPPENHEIMER DEVELOPING MARKETS CLY	Yes	\$15,001 - \$50,000		\$201 - \$1,000
63	VANGUARD MORGAN GROWTH ADMIRAL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
64	VANGUARD MID CAP VALUE INDEX ADMIRAL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
65	VANGUARD INTERMEDIATE TERM TAX EXEMPT ADMIRAL	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
66	TRAVIS COUNTY TX WTR CTL AND IMO DIST 17 bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
67	Pro Variable Annuity- Allianz Life AZL Small Cap Stock Index Fund CI 2	Yes	\$1,001 - \$15,000		None (or less than \$201)
68	Pro Variable Annuity Allianz Life AZL Morgan Stanley Global Real Estate Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
69	ProVariable Annuity Fund Allianz Life AZL NJF International Value Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
70	Pro Variable Annuity Fund Allianz Life AZL Oppenheimer Discovery Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
71	Pro Variable Annuity Fund Allianz Life AZL Russell 1000 Value Index	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
72	Pro Variable Annuity Allianz Life Fund Clearbridge Variable Aggressive Growth	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
73	Pro Variable Annuity Allianz Life Fund Fidelity VIP Mid CAP Portfolio	Yes	\$1,001 - \$15,000		\$201 - \$1,000
74	Pro Variable Annuity Allianz Life Fund PIMCO VIT Commodity Real Return	Yes	\$1,001 - \$15,000		\$201 - \$1,000
75	Pro Variable Annuity Allianz Life Fund Invesco VI American Value	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
76	Pro Variable Annuity Allianz Life Fund MFS VIT Total Return Bond Portfolio	Yes	\$15,001 - \$50,000		\$201 - \$1,000
77	Pro Variable Annuity Allianz Life Fund PIMCO VIT Low Duration Portfolio	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
78	Pro Variable Annuity Allianz Life Fund PIMCO VIT Unconstrained Bond Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
79	Pro Variable Annuity Allianz Life Fund Templeton Global Bond VIP Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
80	PriceFalls Inc (on-line retail marketplace)	N/A	\$15,001 - \$50,000		None (or less than \$201)
81	Everbank CD tracks Diversified Metals 5 Year	N/A	\$1,001 - \$15,000		None (or less than \$201)
82	Allianz Life Variable Franklin High Income VIP Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
83	Allianz Life Variable Templeton Global Bond VIP Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
84	T. Rowe Price Retirement 2040 R	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
85	American Funds Europacific GR R3	Yes	\$1,001 - \$15,000		None (or less than \$201)
86	JP Morgan High Yield A	Yes	\$1,001 - \$15,000		None (or less than \$201)
87	PIMCO Total Return R	Yes	\$1,001 - \$15,000		\$201 - \$1,000
88	Vanguard Inflation Protected Secs Adm	Yes	\$1,001 - \$15,000		\$201 - \$1,000
89	Met Life GTS Fixed Account	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
90	T. Rowe Price Retirement 2020 R	Yes	\$1,001 - \$15,000		\$201 - \$1,000
91	T Rowe Price Retirement 2040 R	Yes	\$1,001 - \$15,000		\$201 - \$1,000
92	American Funds Fundamental Invs R3	Yes	\$15,001 - \$50,000		None (or less than \$201)
93	Vanguard Index 500 Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
94	Met Life GTS Fixed Account	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
95	Janus Balanced CL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
96	Loomis Sayles Bond Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
97	Blackrock Strategic Income Opportunity	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
98	Dodge and Cox International Stock	Yes	\$15,001 - \$50,000		\$201 - \$1,000
99	Dreyfus/Standish Global Fixed Income C	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
100	American Funds International Growth and Income CL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
101	PIMCO Income CL	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
102	Vanguard Mid Cap Value Index Adm	Yes	\$1,001 - \$15,000		\$201 - \$1,000
103	American Capital World Bond Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
104	Fidelity Advisor Mid Cap II Institutional	Yes	\$1,001 - \$15,000		None (or less than \$201)
105	American Funds New World CL F2	Yes	\$1,001 - \$15,000		None (or less than \$201)
106	Oppenheimer International Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
107	Vanguard Value Index Value Admiral	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
108	American Funds Europacific Growth CL F2	Yes	\$1,001 - \$15,000		None (or less than \$201)
109	American Funds International Growth and Income	Yes	\$1,001 - \$15,000		None (or less than \$201)
110	American Funds New Perspecitve CL F2	Yes	\$1,001 - \$15,000		None (or less than \$201)
111	Northern Small Cap Value	Yes	\$1,001 - \$15,000		None (or less than \$201)
112	Oppenheimer Global CL Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
113	PIMCO Income	Yes	\$1,001 - \$15,000		\$201 - \$1,000
114	Anhueuser Busch Debenture CPN	N/A	\$1,001 - \$15,000		None (or less than \$201)
115	AOL Time Warner CPN note	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
116	Capital One Finl Corp Sub Note	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
117	CISCO SYS INC SR NOTE	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
118	Comcast Corp	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
119	ConocoPhillips Canada FDG CO 1 Note CPN	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
120	EMBARQ Corp Note CPN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
121	Equity Residential Note CPN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
122	GEN ELEC CAP CORP MEDIUM TERM NOTE	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
123	McDonalds Corp Medium Term Note	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
124	Oneok Partners LP SR Note	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
125	United Health GRP Inc Note	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
126	VIACOM INC SUB DEBENTURE CPN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
127	XEROX CORP SR NOTE	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
128	US TREASURY BOND STRIP PRIN PMT	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
129	US TREASURY BOND CPN	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
130	Blackrock Strategic Income Oppty INSTL	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
131	Dodge and Cox Income DODIX	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
132	Fidelity Advisor Mid Cap II	Yes	\$50,001 - \$100,000		None (or less than \$201)
133	Oppenheimer Global CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
134	Templeton Glbal Bond Advisor GL	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
135	Vanguard Energy Admiral	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
136	Vanguard REIT Index Admiral	Yes	\$100,001 - \$250,000		None (or less than \$201)
137	FED National Mtg Assn Benchmark Note	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
138	US Treasury Bond Note CPN	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
139	PIMCO Commodity Real Return Strategy	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
140	Dodge and Cox Global Stock	Yes	\$1,001 - \$15,000		None (or less than \$201)
141	Dodge and Cox Income	Yes	\$1,001 - \$15,000		\$201 - \$1,000
142	Dreyfus Standish Global Fixed Income	Yes	\$1,001 - \$15,000		\$201 - \$1,000
143	Franklin High Income Advisor	Yes	\$1,001 - \$15,000		\$201 - \$1,000
144	JP Morgan Mid Cap Growth Select CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
145	Metropolitan West Total Return Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
146	Oakmark International Small Cap	Yes	\$1,001 - \$15,000		None (or less than \$201)
147	Templeton Global Bond Advisor CL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
148	American AMCAP CL F2	Yes	\$1,001 - \$15,000		None (or less than \$201)
149	Blackrock Strategic Income OppTy	Yes	\$1,001 - \$15,000		\$201 - \$1,000
150	DFA US Small Cap Instl	Yes	\$1,001 - \$15,000		None (or less than \$201)
151	DFA Intl Value INSTL	Yes	\$1,001 - \$15,000		None (or less than \$201)
152	DFA INTL Real Estate SECS	Yes	\$1,001 - \$15,000		None (or less than \$201)
153	Vanguard REIT Index Adm	Yes	\$1,001 - \$15,000		None (or less than \$201)
154	Vanguard Mid Cap Value Index Adm	Yes	\$1,001 - \$15,000		None (or less than \$201)
155	Vanguard Short-Term Investment-Grade	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
156	Vanguard Value Index Admiral	Yes	\$1,001 - \$15,000		None (or less than \$201)
157	State of Israel Bonds	See Endnote	N/A	None (or less than \$1,001)	Interest \$1,001 - \$2,500
158	AXA Whole Life Insurance Policy	N/A	\$500,001 - \$1,000,000	Dividends	\$201 - \$1,000
159	AXA Whole Life Insurance Policy	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
160	Franklin Templeton High Yield Tax Free Income	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
161	Vanguard Limited Term Tax Ex Adm	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
162	Vodafone	N/A	\$1,001 - \$15,000		None (or less than \$201)
163	Pro Variable Allianz Life Franklin High Income VIP Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
164	Pro Variable Allianz Life Fidelity VIP Emerging Markets	Yes	\$1,001 - \$15,000		\$201 - \$1,000
165	Marathon Oil Corp 6.6% Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
166	Federal National Mortgage Corp 5.375% Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
167	Federal National Mortgage Corp 6.625% Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
168	Wayfair stock	N/A	\$15,001 - \$50,000		None (or less than \$201)
169	Wells Fargo and Co stock	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
170	METLife Inc. stock	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
171	Prudential Financial Inc Bond	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
172	Voya Bond	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000	
173	XL Group Plc	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	
174	Bank of America Corp Bond	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
175	ING US Inc JR Sub Note FXD/VAR CPN	See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
176	XL CATLIN INS CO	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	
177	Thornburg LTD Term Municipal Fund Class I LTMIX	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000	
178	Vanguard Market Neutral Investor	Yes	\$100,001 - \$250,000		None (or less than \$201)	
179	American International Growth and Income CL F2	Yes	\$1,001 - \$15,000		\$201 - \$1,000	
180	AQR Managed Future Strategy	Yes	\$1,001 - \$15,000		None (or less than \$201)	
181	Fidelity Advisor Mid Cap II	Yes	\$1,001 - \$15,000		\$201 - \$1,000	
182	Boston Partners Long Short Research	Yes	\$50,001 - \$100,000		None (or less than \$201)	
183	Vanguard Energy	Yes	\$1,001 - \$15,000		None (or less than \$201)	
184	Franklin High Income Advisor CL	Yes	\$1,001 - \$15,000		\$201 - \$1,000	
185	Allianz Variable Annuity Global Equity Index Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500	
186	Allianz Variable Annuity Pyramis Total Bond Fund Class 2	Yes	\$1,001 - \$15,000		\$201 - \$1,000	
187	Allianz Variable Annuity Global Equity Index Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500	
188	Allianz Variable Annuity Morgan Stanley Global Real Estate CI 2	Yes	\$1,001 - \$15,000		None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
189	Allianz Variable Annuity Pyramis Total Bond Fund CI 2	Yes	\$1,001 - \$15,000		\$201 - \$1,000
190	Allianz Variable Annuity Russell 1000 Value Index Fund CI 2	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
191	Allianz Variable Annuity AZL Small Cap Stock Index Fund CI 2	Yes	\$1,001 - \$15,000		None (or less than \$201)
192	Allianz Variable Annuity Clearbridge Variable Aggressive Growth	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
193	Allianz Variable Annuity Invesco V.I. American Value	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
194	Allianz Variable Annuity MFS VIT Total Return Bond Portfolio	Yes	\$15,001 - \$50,000		\$201 - \$1,000
195	Allianz Variable Annuity PIMCO VIT Low Duration Portfolio	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
196	Allianz Variable Annuity PIMCO VIT Unconstrained Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
197	M&T Bank Corp. stock	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000

## 7. Transactions

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

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

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

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## Endnotes

<b>PART</b>	<b>#</b>	<b>ENDNOTE</b>
2.	8	no longer held
3.	4	No further contributions have been made since I left Altantic Health System on July 2, 2015
6.	20	no longer held
6.	24	no longer held
6.	38	no longer held
6.	39	no longer held
6.	44	no longer held
6.	46	no longer held
6.	157	no longer held
6.	175	no longer held

# 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.

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