

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

Filer's Information

Sullivan, John J

Deputy Secretary, Department of State

Report Year: 2019

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/ Sullivan, John J [electronically signed on 05/10/2019 by Sullivan, John J 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/ Frasure, Virginia, Certifying Official [electronically signed on 06/26/2019 by Frasure, Virginia in Integrity.gov]

Other review conducted by

/s/ Frasure, Virginia, Ethics Official [electronically signed on 06/26/2019 by Frasure, Virginia in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 07/30/2019 by Granahan, Megan in Integrity.gov]

Data Revised 06/26/2019

Data Revised 06/19/2019

Data Revised 06/14/2019

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard Target Retirement Trust 2025 II (401K)	Yes	\$100,001 - \$250,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

(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	King & Spalding LLP	N/A		Partnership profits distributions.	
2	King & Spalding LLP (401K)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	Schwab Moderate Strategic Portfolio	Yes	Over \$1,000,000		None (or less than \$201)
2.2	Third Avenue Focused Credit Instl	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	Galliard Retirement Income Fund 35	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	King & Spalding LLP (capital account)	N/A	\$250,001 - \$500,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Morgan Stanley BANK DEPOSIT PROGRAM (cash account)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	SPDR S&P 500 ETF TRUST (SPY)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3	VANGUARD GROWTH ETF (VUG)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
4	VANGUARD VALUE ETF INDEX (VTV)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
5	VANGUARD SM CAP GROWTH ETF (VBK)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6	VANGUARD SM CAP VALUE ETF (VBR)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7	VANGUARD FTSE DEVELOPED MKTS E (VEA)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
8	LORD ABBETT SHT DURATION INC (LDLFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	DOUBLELINE TOTAL RETURN BOND FUND (DBLTX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
10	BLACKROCK TOTAL RET I (MAHQX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
11	PIMCO INCOME P (PONPX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
12	AQR MANAGED FUTURES STRATEGY I (AQMIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
13	DREYFUS GLOBAL REAL RETURN I (DRRIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
14	BLACKSTONE ALT MULT-STRAT INST (BXMIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
15	JOHN HANCOCK SEAPORT I (JSFDX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
16	HSBC MARKET LINKED SECURITY CDON SX5E	N/A	\$100,001 - \$250,000		None (or less than \$201)
17	Capital One - (cash account)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
18	M&T Bank Market Advantage Account (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
19	PNC Bank Premium Money Market Account (cash account)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
20	PNC Bank (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	PNC Bank Premium Money Market (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	PNC Bank (cash account)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23	SunTrust Bank Money Market Account (cash account)	N/A	\$250,001 - \$500,000		None (or less than \$201)
24	Wells Fargo Bank (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
25	Oppenheimer & Co. Inc. (cash account)	N/A	\$500,001 - \$1,000,000		\$1,001 - \$2,500
26	AMG MANAGERS MONTAG & CALDWELL GROWTH FD (MCGIX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
27	AMG SOUTHERNSUN SMALL CAP-INV FD (SSSIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
28	ANNE ARUNDEL CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
29	ANNE ARUNDEL CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
30	AUSTIN TEX TX (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
31	BARON PARTNERS FD (BPTIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
32	CARROLL CNTY MD (bonds) See Endnote	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
33	CAUSEWAY INTERNATIONAL VALUE FUND (CIVVX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
34	CHARLES CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
35	COLUMBUS OHIO (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
36	CULLEN HIGH DIVIDEND EQUITY FD (CHDVX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
37	FRISCO TX (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
38	HARDING LOEVNER INTL EQUITY FD INVESTOR HLMIX		Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
39	HOWARD CNTY MD (bonds)		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
40	KING CNTY WASH SCH DIST NO 405 (bonds)		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
41	LOOMIS SAYLES BD FD INSTITUTIONAL (LSDBX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
42	MARYLAND ST TRANSN AUTH (bonds)	See Endnote	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
43	NORTH DAKOTA PUB FIN AUTH (bonds)		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
44	OHIO ST WTR DEV AUTH (bonds)		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
45	POPLAR FOREST PARTNERS FUND INSTL (IPFPX)		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
46	PRINCE GEORGES CNTY MD (bonds)		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
47	SAN ANTONIO TEX WTR REV (bonds)		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
48	SEATTLE WASH MUN LT & PWR REV (bonds)		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
49	T ROWE PRICE MID CAP GROWTH FUND INC ADVISOR CL (PAMCX)		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
50	TEXAS A & M UNIV PERM UNIV FD (bonds)		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
51	TEXAS A & M UNIV REVS (bonds)		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
52	UNIVERSITY MD SYS AUXILIARY FA (bonds)		N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
53	UTAH ST UNIV REV (bonds)		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
54	UTAH TRAN AUTH SALES TAX REV (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
55	ADVANTAGE ADVISOR XANTHUS FUND LLC	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
56	CHARLES CNTY MD CNTY COMMRS-CONS (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
57	MARYLAND ST (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
58	MARYLAND ST (bonds)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
59	MARYLAND ST DEPT TRANS (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
60	MONTGOMERY CNTY MD (bonds)	N/A	\$100,001 - \$250,000		\$2,501 - \$5,000
61	MONTGOMERY CNTY MD (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
62	PRINCE GEORGES CNTY MD (bonds)	N/A	\$50,001 - \$100,000		\$2,501 - \$5,000
63	WASHINGTON CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest Capital Gains	\$1,001 - \$2,500
64	INVESCO HIGH YIELD MUNICIPAL FUND A (ACTHX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
65	INVESCO GLOBAL SMALL & MID CAP GROWTH FUND CL A (AGAAX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
66	INVESCO INTERNATIONAL GROWTH FUND CL A (AIEX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
67	BLACKROCK HI YLD BD PORTFOLIO (BHYIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
68	AMERICAN CAPITAL WORLD GROWTH AND INCOME FD A (CWGIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
69	HOTCHKIS AND WILEY LARGE CAP VALUE FUND A (HWLAX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
70	BANK OF AMERICA, NA (RASP) (money market) (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
71	INVESCO DIVERSIFIED DIVIDEND FUND CL A (LCEAX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
72	BLACKROCK EQUITY DIVIDEND FD A (MDDVX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
73	BLACKROCK CAPITAL APPRECIATION FD, INC.(MAFGX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
74	BLACKROCK GLOBAL ALLOCATION FD INC A (MDLOX/MALOX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
75	ML BANK DEPOSIT PROGRAM (cash account)	N/A	\$500,001 - \$1,000,000		\$2,501 - \$5,000
76	Canadian Imperial Bank of Commerce Note Linked to the Russell 2000 Index (MLTXY)	N/A	\$50,001 - \$100,000		None (or less than \$201)
77	Canadian Imperial Bank of Commerce Note Linked to the Russell 2000 Index (MLTDN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
78	Bank of America Corp. Note Linked to the S&P 500 Index (MLTVG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
79	Canadian Imperial Bank of Commerce Note Linked to the EURO Stoxx 50 Index (MLTDZ)	N/A	\$100,001 - \$250,000		None (or less than \$201)
80	Maine (NextGen) 529 Plan (BLKRK Diversified Portfolio - 75% EQUITY)	Yes	\$100,001 - \$250,000		None (or less than \$201)
81	COLUMBIA LARGE CAP GROWTH FUND III CLASS A (NFEAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
82	NUVEEN MARYLAND QUALITY MUNICIPAL INCOME FUND (NMY)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
83	INVESCO EQUALLY WEIGHTED S&P FUND CLASS A (VADAX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
84	INVESCO MID CAP GROWTH FUND A (VGRAX)		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
85	LINCOLN MONEYGUARD II (Universal Life)		N/A	\$50,001 - \$100,000		None (or less than \$201)
86	First Trust (Unit Investment Trust) 5935 SABRIENT BAKERS DOZEN 2017 (FDNWX)		Yes	\$100,001 - \$250,000		\$201 - \$1,000
87	VANGUARD TOTAL INTL STOCK ETF (VXUS)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
88	EATON VANCE HIGH YIELD MUNICIPAL INCOME FUND CLASS I (EIHXX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
89	VANGUARD FTSE EMERGING MARKETS (VWO)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
90	WELLS FARGO MUNI BOND INST (WMBIX)		Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
91	CURRENCY HEDGED MSCI EAFE (HEFA)		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
92	Frederick County MD (bonds)		N/A	\$15,001 - \$50,000	Interest Rent or Royalties	\$201 - \$1,000
93	Maryland State Dept of Transportation (bonds)	See Endnote	N/A	None (or less than \$1,001)		\$1,001 - \$2,500
94	Diamond Hill Large Cap (DHLRX)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
95	Edgewood Growth Fund (EGFIX)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
96	S&P 500 ARN Issuer BofA (MLVAC)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
97	SX5E ARN Issuer BofA (MLVAD)	N/A	\$50,001 - \$100,000		None (or less than \$201)
98	R2000 ARN Issuer SEK (MLVAE)	N/A	\$100,001 - \$250,000		None (or less than \$201)
99	HGX Step Up Issuer BofA (MLZYE)	N/A	\$100,001 - \$250,000	Rent or Royalties	None (or less than \$201)
100	Oppenheimer Short Term Muni (ORSYX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
101	PGIM Short Duration Multi-Sector (SDMZ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
102	Western Asset Core Plus Bond (WACPX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
103	iShares Core MSCI Emerging (IEMG)	See Endnote	Yes	\$50,001 - \$100,000	None (or less than \$201)
104	Anne Arundel County MD Bond - 03588HLH7	N/A	\$50,001 - \$100,000		None (or less than \$201)
105	Howard County MD Bond - 4425PDW0	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
106	Maryland State GO Bond - 574193PL6	N/A	\$50,001 - \$100,000		None (or less than \$201)
107	Maryland State GO Bond - 574193PR3	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
108	Maryland State GO St Local - 574193QD3	N/A	\$50,001 - \$100,000		None (or less than \$201)
109	Maryland State Dept of Trans - 574204M59	N/A	\$50,001 - \$100,000		None (or less than \$201)
110	Montgomery County MD GO Bond - 6133402W7	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
111	Prince Georges County MD Bond - 7417012S4	N/A	\$50,001 - \$100,000		None (or less than \$201)
112	Invesco Core Plus Bond (ACPSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
113	Guggenheim Total Return Bond - GIBIX	Yes	\$15,001 - \$50,000		\$201 - \$1,000
114	SX5E CLIRN Issuer BofA - MLVCR	N/A	\$50,001 - \$100,000		None (or less than \$201)
115	SX5E CLIRN Issuer BofA - MLVDM	N/A	\$50,001 - \$100,000		None (or less than \$201)
116	R2000 CLIRN Issuer HSBC - MLVDO	N/A	\$50,001 - \$100,000		None (or less than \$201)
117	SX5E CLIRN Issuer CIBC - MLVEH	N/A	\$50,001 - \$100,000		None (or less than \$201)
118	SP500 CLIRN Issuer HSBC - MLVEI	N/A	\$50,001 - \$100,000		None (or less than \$201)
119	R2000 CLIRN Issuer RBC - MLVHW	N/A	\$50,001 - \$100,000		None (or less than \$201)
120	SP500 ARN Issuer BofA - MLVKI	N/A	\$100,001 - \$250,000		None (or less than \$201)
121	SX5E ARN Issuer CS - MLVKJ	N/A	\$50,001 - \$100,000		None (or less than \$201)
122	R2000 ARN Issuer BNS - MLVKK	N/A	\$50,001 - \$100,000		None (or less than \$201)
123	MSCI E CLIRN Issuer BNS - MLVKT	N/A	\$50,001 - \$100,000		None (or less than \$201)
124	JPMorgan Small Cap (OGGFX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
125	FT Unit 7122 Sabrient Bakers Dozen Jan 18 - SBDZ18A	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
126	Angel Oak Multi Strat Inc (ANGIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
127	SPDR Gold Trust (GLD)	Yes	\$50,001 - \$100,000		None (or less than \$201)
128	Invesco Ultra Short Duration (GSY)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
129	Lord Abbett Floating Rate (LFRFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
130	Federated US Treasury Cash Reserves (UTIXX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
131	FT Unit 7152 Sabrient Bakers Dozen Feb 18 - SBDZ18B	Yes	\$50,001 - \$100,000		\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	FT Sabrient Bakers Dozen (FCVZLX)	Purchase	1/22/2018	\$100,001 - \$250,000
2	SX5E CLIRN	Purchase	1/25/2018	\$50,001 - \$100,000
3	Howard County MD GO Bond	Purchase	1/22/2018	\$50,001 - \$100,000
4	MD State GO Bond - 574193PR3	Purchase	1/22/2018	\$50,001 - \$100,000
5	CLIRN Linked to the EURO STOXX 50 Index: MLVDM	Purchase	02/22/2018	\$50,001 - \$100,000
6	First Trust Sabrient Baker's Dozen Portfolio Feb 2018 Series	Purchase	03/01/2018	\$100,001 - \$250,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
7	CLIRN Linked to the Russell 2000 Index: MLVDO		Purchase	02/22/2018	\$50,001 - \$100,000
8	S&P 500 CLIRN	See Endnote	Purchase	03/28/2018	\$50,001 - \$100,000
9	Euro STOXX 50 CLIRN	See Endnote	Purchase	03/28/2018	\$50,001 - \$100,000
10	CLIRN linked to Russell 2000	See Endnote	Purchase	7/26/2018	\$50,001 - \$100,000
11	7.Maryland State GO bond – CUSIP 574193PL6		Purchase	11/20/2018	\$50,001 - \$100,000
12	10.Maryland State Department of Transportation bond – CUSIP 57404M59		Purchase	11/20/2018	\$50,001 - \$100,000
13	MLVKK - ARN Linked to the Russell 2000 Index		Purchase	11/29/2018	\$50,001 - \$100,000
14	6.Prince Georges County MD bond – CUSIP 7417012S4		Purchase	11/20/2018	\$50,001 - \$100,000
15	NFEAX - Columbia Large Cap Growth Fund Class A		Sale	11/30/2018	\$100,001 - \$250,000
16	MLVKI - ARN Linked to the S&P 500 Index		Purchase	11/29/2018	\$100,001 - \$250,000
17	MLVKJ - ARN Linked to the EURO STOXX 50 Index		Purchase	11/29/2018	\$50,001 - \$100,000
18	5.Montgomery County MD GO bond – CUSIP 6133402W7		Purchase	11/20/2018	\$50,001 - \$100,000
19	MLVKT - CLIRN Linked to the MSCI Emerging Markets Index		Purchase	11/30/2018	\$50,001 - \$100,000
20	9.Anne Arundel County MD GO bond – CUSIP 03588HLH7		Purchase	11/20/2018	\$50,001 - \$100,000
21	8.Maryland State GO State and Local bond – CUSIP 574193QD3		Purchase	11/20/2018	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	iShares Core US Aggregate Bond Fund (AGG)	Sale	05/16/2018	\$1,001 - \$15,000
23	AQR Style Premia Alternative (QSPIX)	Sale	Multiple	\$100,001 - \$250,000
24	Currency Hedged MSCI EAFE (HEFA)	Sale	Multiple	\$100,001 - \$250,000
25	Wisdom Tree Trust Japan Hedged EQ (DXJ)	Sale	Multiple	\$1,001 - \$15,000
26	Invesco Core Plus Bond (ACPSX)	Purchase	1/22/2018	\$1,001 - \$15,000
27	Guggenheim Total Return Bond (GIBIX)	Purchase	6/29/2018	\$15,001 - \$50,000
28	JPMorgan Small Cap (OGGFX)	Purchase	1/22/2018	\$50,001 - \$100,000
29	Angel Oak Multi Strat Inc (ANGIX)	Purchase	Multiple	\$100,001 - \$250,000
30	SPDR Gold Trust (GLD)	Purchase	Multiple	\$50,001 - \$100,000
31	Invesco Ultra Short Duration (GSY)	Purchase	09/12/2018	\$15,001 - \$50,000
32	Doubleline Total Return Bond Fund (DBLTX)	Sale	Multiple	\$100,001 - \$250,000
33	Lord Abbett Floating Rate (LFRFX)	Purchase	Multiple	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	32	Holding redeemed in 2018
6.	42	Holding redeemed in 2018
6.	93	Holding redeemed in 2018.
6.	103	This asset was removed in error. It was in the original nominee report line 29.
7.	8	CUSIP 40435M862
7.	9	CUSIP 13606M649
7.	10	MLVHW

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).
