

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

Filer's Information

Sullivan, John J

Deputy Secretary, Department of State

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/ Sullivan, John J [electronically signed on 08/11/2018 by Sullivan, John J in Integrity.gov] - Filer received a 90 day filing extension.

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/ Huitema, David, Certifying Official [electronically signed on 09/28/2018 by Huitema, David in Integrity.gov]

Other review conducted by

/s/ Vahab, Lana L, Ethics Official [electronically signed on 09/04/2018 by Vahab, Lana L in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 10/02/2018

Data Revised 09/28/2018

Data Revised 09/03/2018

Data Revised 08/21/2018

Data Revised 08/16/2018

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Mayer Brown LLP	Washington, District of Columbia	Law Firm	Partner	2/2012	5/2017
2	Air Force Judge Advocate General's School Foundation, Inc.	Montgomery, Alabama	Non-Profit	Board Member	3/2010	5/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Mayer Brown LLP (law firm)	N/A		Salary/Bonus	\$341,000
2	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			
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	\$250,001 - \$500,000		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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
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	VIRTUS INSIGHT EMERG MKTS I (HIEMX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9	LORD ABBETT SHT DURATION INC (LDLFX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
10	WELLS FARGO STRAT MUNI BD I (STRIX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
11	DOUBLELINE TOTAL RETURN BOND FUND (DBLTX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
12	ISHARES CORE U.S. AGGREGATE BOND FUND (AGG)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
13	BLACKROCK TOTAL RET I (MAHQX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
14	PIMCO INCOME P (PONPX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
15	FIRST TRUST NORTH AMERICAN ENERGY INFRASTRUCTURE FUND (EMLP)	Yes	None (or less than \$1,001)		\$201 - \$1,000
16	AQR MANAGED FUTURES STRATEGY I (AQMIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
17	DREYFUS GLOBAL REAL RETURN I (DRRIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
18	BLACKSTONE ALT MULT-STRAT INST (BXMIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
19	AQR STYLE PREMIA ALTERNATIVE I (QSPIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	JOHN HANCOCK SEAPORT I (JSFDX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
21	HSBC MARKET LINKED SECURITY CDON SX5E	N/A	\$100,001 - \$250,000		None (or less than \$201)
22	Capital One - (cash account)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
23	M&T Bank Market Advantage Account (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
24	PNC Bank Premium Money Market Account (cash account)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
25	PNC Bank (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	PNC Bank Premium Money Market (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	PNC Bank (cash account)	N/A	None (or less than \$1,001)		None (or less than \$201)
28	SunTrust Bank Money Market Account (cash account)	N/A	\$250,001 - \$500,000		None (or less than \$201)
29	Wells Fargo Bank (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)
30	Oppenheimer & Co. Inc. (cash account)	See Endnote	\$500,001 - \$1,000,000		None (or less than \$201)
31	AMG MANAGERS MONTAG & CALDWELL GROWTH FD (MCGIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
32	AMG SOUTHERNSUN SMALL CAP-INV FD (SSSIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
33	ANNE ARUNDEL CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
34	ANNE ARUNDEL CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
35	AUSTIN TEX TX (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
36	BARON PARTNERS FD (BPTIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
37	CARROLL CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
38	CAUSEWAY INTERNATIONAL VALUE FUND (CIVVX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
39	CHARLES CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
40	COLUMBUS OHIO (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
41	CULLEN HIGH DIVIDEND EQUITY FD (CHDVX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
42	FRISCO TX (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
43	HARDING LOEVNER INTL EQUITY FD INVESTOR CL OPEN END	Yes	\$100,001 - \$250,000		\$201 - \$1,000
44	HOWARD CNTY MD (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
45	KING CNTY WASH SCH DIST NO 405 (bonds)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
46	LOOMIS SAYLES BD FD INSTITUTIONAL (LSDBX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
47	MARYLAND ST (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
48	MARYLAND ST (bonds)	N/A	\$15,001 - \$50,000	Interest Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
49	MARYLAND ST TRANSN AUTH (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
50	NORTH DAKOTA PUB FIN AUTH (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
51	OHIO ST WTR DEV AUTH (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
52	POPLAR FOREST PARTNERS FUND INSTL (PFPPFX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
53	PRINCE GEORGES CNTY MD (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
54	SAN ANTONIO TEX WTR REV (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
55	SEATTLE WASH MUN LT & PWR REV (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
56	T ROWE PRICE MID CAP GROWTH FUND INC ADVISOR CL (PMACX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
57	TEXAS A & M UNIV PERM UNIV FD (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
58	TEXAS A & M UNIV REVS (bonds)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
59	UNIVERSITY MD SYS AUXILIARY FA (bonds)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
60	UTAH ST UNIV REV (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
61	UTAH TRAN AUTH SALES TAX REV (bonds)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62	ADVANTAGE ADVISOR XANTHUS FUND LLC	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
63	CHARLES CNTY MD CNTY COMMRS-CONS (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
64	MARYLAND ST (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
65	MARYLAND ST (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
66	MARYLAND ST DEPT TRANS (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
67	MARYLAND ST DEPT TRANS (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
68	MONTGOMERY CNTY MD (bonds)	N/A	\$100,001 - \$250,000		\$2,501 - \$5,000
69	MONTGOMERY CNTY MD (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
70	PRINCE GEORGES CNTY MD (bonds)	N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
71	UNIV MD SYS (bonds)	N/A	\$1,001 - \$15,000	Interest Capital Gains	\$201 - \$1,000
72	WASHINGTON CNTY MD (bonds)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
73	INVESCO HIGH YIELD MUNICIPAL FUND A (ACTHX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
74	INVESCO GLOBAL SMALL & MID CAP GROWTH FUND CL A (AGAAX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
75	INVESCO INTERNATIONAL GROWTH FUND CL A (AIIEX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
76	BLACKROCK HI YLD BD PORTFOLIO (BHYIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
77	AMERICAN CAPITAL WORLD GROWTH AND INCOME FD A (CWGIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
78	HOTCHKIS AND WILEY LARGE CAP VALUE FUND A (HWLAX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
79	BANK OF AMERICA, NA (RASP) (money market) (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
80	INVESCO DIVERSIFIED DIVIDEND FUND CL A (LCEAX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
81	BLACKROCK EQUITY DIVIDEND FD A (MDDVX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
82	BLACKROCK CAPITAL APPRECIATION FD, INC.(MAFGX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
83	BLACKROCK GLOBAL ALLOCATION FD INC A (MDLOX/MALOX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
84	ML BANK DEPOSIT PROGRAM (cash account)	N/A	\$500,001 - \$1,000,000	Interest	\$1,001 - \$2,500
85	Swedish Export Credit Corp. Note Linked to the Russell 2000 Index (MLTXQ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
86	Canadian Imperial Bank of Commerce Note Linked to the Russell 2000 Index (MLTXY)	N/A	\$50,001 - \$100,000		None (or less than \$201)
87	Canadian Imperial Bank of Commerce Note Linked to the Russell 2000 Index (MLTDN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
88	Bank of America Corp. Note Linked to the S&P 500 Index (MLTVG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
89	Bank of America Corp. Note Linked to the S&P 500 Index (MLTXV)	N/A	\$50,001 - \$100,000		None (or less than \$201)
90	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)
91	Maine (NextGen) 529 Plan (BLKRK Diversified Portfolio - 75% EQUITY)	Yes	\$250,001 - \$500,000		None (or less than \$201)
92	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
93	NUVEEN MARYLAND QUALITY MUNICIPAL INCOME FUND (NMY)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
94	OAK RIDGE SMALL CAP GROWTH FUND CLASS A (ORIGX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
95	First Trust (Unit Investment Trust) 5935 SABRIENT BAKERS DOZEN 2016 (FHMRWX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
96	INVESCO EQUALLY WEIGHTED S&P FUND CLASS A (VADAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
97	INVESCO MID CAP GROWTH FUND A (VGRAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
98	LINCOLN MONEYGUARD II (Universal Life)	N/A	\$50,001 - \$100,000		None (or less than \$201)
99	First Trust (Unit Investment Trust) 5935 SABRIENT BAKERS DOZEN 2017 (FDNWX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
100	VANGUARD TOTAL INTL STOCK ETF (VXUS)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
101	ISHARES NATIONAL MUNI BOND ETF (MUB)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
102	EATON VANCE HIGH YIELD MUNICIPAL INCOME FUND CLASS I (EIHXX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
103	VANGUARD FTSE EMERGING MARKETS (VWO)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
104	WELLS FARGO MUNI BOND INST (WMBIX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
105	CURRENCY HEDGED MSCI EAFE (HEFA)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
106	WISDOMTREE TRUST JAPAN HEDGE EQ (DXJ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
107	Frederick County MD (bonds)	N/A	\$15,001 - \$50,000	Interest Rent or Royalties	\$201 - \$1,000
108	Maryland State Dept of Transportation (bonds)	N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
109	Diamond Hill Large Cap (DHLRX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
110	Edgewood Growth Fund (EGFIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
111	HGX Step Up Note (MLHKB)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
112	S&P 500 ARN Issuer BofA (MLVAC)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
113	SX5E ARN Issuer BofA (MLVAD)	N/A	\$50,001 - \$100,000		None (or less than \$201)
114	R2000 ARN Issuer SEK (MLVAE)	N/A	\$50,001 - \$100,000		None (or less than \$201)
115	HGX Step Up Issuer BofA (MLZYE)	N/A	\$100,001 - \$250,000	Rent or Royalties	None (or less than \$201)
116	Oppenheimer Short Term Muni (ORSYX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
117	PGIM Short Duration Multi-Sector (SDMZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
118	Vanguard Short Term Government Bond (VGSH)	Yes	\$100,001 - \$250,000		None (or less than \$201)
119	Western Asset Core Plus Bond (WACPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
120	iShares Core MSCI Emerging (IEMG)	See Endnote	Yes	\$50,001 - \$100,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
121	ACP Power and Energy VI Real Asset Trust	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
122	Blackstone Capital Holding Trust	Yes	None (or less than \$1,001)		\$5,001 - \$15,000

7. Transactions

#	DESCRIPTION		TYPE	DATE	AMOUNT
1	Oppenheimer Short Term Muni (ORSYX)		Purchase	08/24/2017	\$50,001 - \$100,000
2	Euro Stoxx 50 ARN	See Endnote	Purchase	10/05/2017	\$50,001 - \$100,000
3	S&P 500 ARN	See Endnote	Purchase	10/05/2017	\$50,001 - \$100,000
4	Russell 2000 ARN	See Endnote	Purchase	10/05/2017	\$50,001 - \$100,000
5	Edgewood Growth Fund (EGFIX)		Purchase	09/27/2017	\$100,001 - \$250,000
6	Diamond Hill Large Cap (DHLRX)		Purchase	09/27/2017	\$100,001 - \$250,000
7	Maryland State Dept of Transportation (bonds)	See Endnote	Purchase	12/31/2017	\$50,001 - \$100,000
8	Western ASset Core Plus (WACPX)		Purchase	09/27/2017	\$15,001 - \$50,000
9	HGX Step Up Issuer BofA (MLZYE)	See Endnote	Purchase	12/31/2017	\$100,001 - \$250,000
10	PGIM Short Duration Multi-Sector (SDMZ)		Purchase	08/24/2017	\$1,001 - \$15,000
11	PGIM Short Duration Multi-Sector (SDMZ)		Purchase	09/20/2017	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
12	Bank of America Finance Note Linked to the HLX Housing Sector Index (MLYZE)	See Endnote	Sale	12/31/2017	\$50,001 - \$100,000
13	Maryland State Dept Transn Cnty (bonds)	See Endnote	Sale	03/01/2017	\$50,001 - \$100,000
14	Maine (NextGen) 529 Plan (BLRK Diversified Portfolio - 75% Equity)	See Endnote	Sale	12/12/2017	\$15,001 - \$50,000
15	BlackRock Total Return Fund Class A (MDHQX)	See Endnote	Exchange	06/26/2017	\$15,001 - \$50,000
16	ACP Power & Energy VI Real Asset Trust Class A	See Endnote	Sale	10/11/2017	\$100,001 - \$250,000
17	Blackstone Capital Holdings Trust	See Endnote	Sale	10/11/2017	\$100,001 - \$250,000
18	Susa Registered Fund LLC	See Endnote	Sale	05/31/2017	\$250,001 - \$500,000
19	Vanguard Short Term Government Bond (VGSH)	See Endnote	Sale	02/21/2017	\$100,001 - \$250,000
20	HGX Step Up Note (MLHKB)	See Endnote	Sale	01/27/2017	\$100,001 - \$250,000
21	Frederick County MD (bonds)	See Endnote	Purchase	04/11/2017	\$15,001 - \$50,000
22	Anne Arundel County (bonds)	See Endnote	Sale	03/01/2017	\$15,001 - \$50,000
23	First Trust North American Energy Infrastructure Fund		Sale	06/14/2017	\$100,001 - \$250,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	30	positions were liquidated in account and held as cash in the money market at Oppenheimer
6.	120	this asset was removed in error. It was in the original nominee report line 29.
7.	2	Due Date 11/30/2018
7.	3	Due Date 11/30/2018
7.	4	Due Date 11/30/2018
7.	7	This was not a purchase of a new security. This was a retitling of Line 77 from the nominee report but it is the same bond that was held in the account at the time of the nominee report.
7.	9	Fixing a typo in Line 98 of the Nominee Report. Was originally MLYZE instead of MLZYE. Nothing else about the holding is different.
7.	12	Deleting this line from the report to correct a typo in the Nominee Report Line 98. The report read MLYZE instead of MLZYE.
7.	13	Bond matured and was redeemed on 3/1/2017
7.	14	Sold out of the C share class of this fund in child's education account for tuition payment.
7.	15	Exchanged to new share class MAHQX
7.	16	The private equity holding was sold per divestiture order
7.	17	The private equity holding was sold per divestiture order

PART	#	ENDNOTE
7.	18	The fund managers elected to close down the fund and return capital to investors. This was not a sale but a close out of the fund in question.
7.	19	Asset was owned in 2016 and part of 2017 but fully sold on 2/21/2017 and was not an asset as of 3/22/2018.
7.	20	Asset was owned in 2016 and part of 2017 but fully sold on 1/27/2017 and was not an asset as of 3/22/2018.
7.	21	Asset settled in account on 4/11/2017 and was not in his account as of 3/22/2018
7.	22	this holding was redeemed on 3/1/2017 and was not held in the account on 3/22/2017. In the nominee report it was Line 72 and has since been deleted.

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.

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