

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

### Filer's Information

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**Wilson, Heather Ann**

Secretary, Department of the Air Force

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- **Committee on Armed Services**
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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/ Wilson, Heather Ann [electronically signed on 01/31/2017 by Wilson, Heather Ann 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/ Vetter, Ruth, Certifying Official [electronically signed on 03/23/2017 by Vetter, Ruth in Integrity.gov]**

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Other review conducted by

**/s/ Vetter, Ruth, Ethics Official [electronically signed on 03/23/2017 by Vetter, Ruth in Integrity.gov]**

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U.S. Office of Government Ethics Certification

**/s/ Apol, David, Certifying Official [electronically signed on 03/24/2017 by Apol, David in Integrity.gov]**

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	South Dakota School of Mines & Technology		Rapid City, South Dakota	University/College	President	6/2013	Present
2	Peabody Energy		St Louis, Missouri	Corporation	Director	8/2013	Present
3	Raven Industries		Sioux Falls, South Dakota	Corporation	Director	3/2016	Present
4	South Dakota Science and Technology Authority		Lead, South Dakota	Non-Profit	Ex Officio Board Member	7/2014	Present
5	Flight Time LLC	See Endnote	Rapid City, South Dakota	Corporation	Member	1/2016	Present
6	Rocky Mountain Athletic Conference		Colorado Springs, Colorado	Non-Profit	Executive Committee Member	5/2015	Present
7	SD Mines Foundation	See Endnote	Rapid City, South Dakota	Non-Profit	Trustee, Ex Officio	6/2013	Present
8	International Foundation for Electoral Systems		Washington, District of Columbia	Non-Profit	Board Member	1/2013	1/2016
9	Rapid City Economic Development		Rapid City, South Dakota	Non-Profit	Ex Officio Board Member	6/2013	Present
10	Rapid City Area Chamber of Commerce		Rapid City, South Dakota	Non-Profit	Ex Officio Board Member	6/2013	Present
11	Destination Rapid City/Main Street Square		Rapid City, South Dakota	Non-Profit	Board Member	6/2013	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	South Dakota School of Mines & Technology	N/A		Salary	\$373,819
2	Peabody Energy	N/A		Director Fees	\$200,333
3	Raven Industries, vested restricted stock units	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	Raven Industries	N/A		Director Fees	\$46,000
5	Comcast Corporation	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	DRDGOLD	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Dynegey	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Pimco Total Return	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	American Beacon Lg Cap	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
10	American Century Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	Dodge & Cox International	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Harbor International	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	Manning & Napier World	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	Parnassus Core Equity	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
15	Royce Total Return	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16	Schwab Markettrack Growth	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17	Schwab Target 2025	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
18	US Bank Account (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	South Dakota Retirement System (State of South Dakota) Supplemental Retirement Plan	No			
19.1	VNGRD SM CAP INDX FD AS	Yes	\$1,001 - \$15,000		None (or less than \$201)
19.2	DODGECOX GLBL STK	Yes	\$1,001 - \$15,000		None (or less than \$201)
19.3	VNGRD INST INDX INST	Yes	\$1,001 - \$15,000		None (or less than \$201)
19.4	VANGRD TTL BD MKT INDX INST	Yes	\$1,001 - \$15,000		None (or less than \$201)
19.5	VNGRD TRGT RTMT 2025 INV	Yes	\$1,001 - \$15,000		\$201 - \$1,000
20	South Dakota Retirement System (State of South Dakota), defined benefit plan (value not readily ascertainable) Currently, eligible for \$4,699 per month at age 65	N/A			None (or less than \$201)
21	International Law and the Use of Force by National Liberation Movements, Oxford University Press, 1988 (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	Raven Industries	Sioux Falls, South Dakota	Restricted stock units are vested. All restricted stock units will be distributed to me 60 days after I leave the Board of Raven in the form of shares of common stock of the company consistent with the company's policy for all Board members.	2/2016
2	South Dakota Retirement System (State of South Dakota) Supplemental Retirement Plan	Pierre, South Dakota	I may continue to participate in this defined contribution plan upon separation. The plan sponsor will not make further contributions after my separation.	12/2015

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
3	South Dakota Retirement System (State of South Dakota) Defined Benefit	Pierre, South Dakota	I am vested in the SD State employee retirement plan and, under current SD statute, will receive about \$4,699 per month beginning at age 65.	6/2013

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	South Dakota School of Mines and Technology	Rapid City, South Dakota	President responsible for running educational institution
2	Peabody Energy Co.	St. Louis, Missouri	Provides advice as member of Board of Directors to this coal company
3	Raven Industries	Sioux Falls, South Dakota	Provides advice as a member of the Board of Directors of this company that manufactures high altitude balloons, specialty films for agriculture and energy industries and technology products for the agriculture industry.

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Allied World Assurance Co HLDGS ISIN	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	AT&T Inc Com USD1	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Brookfield Asset Mgmt Inc CL A Ltd VT SH	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Brookfield Infrastructure Partners LP	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Central FD CDA LTD CL A ISIN	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	CF INDS HLDGS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	CONTINENTAL RES INC OKLA COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	CORNING INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	ELDORADO GOLD CORP COM NPV ISIN	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	FACEBOOK INC COM USDO.000006 CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	FIRST SOLAR INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	HONEYWELL INTL INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	INTEL CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
14	INTL BUSINESS MACH	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
15	KKR & CO L P DEL COM UNITS	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	LADENBURG THALMANN FIN SVCS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	MATADOR RESOURCES COMPANY COM USDO.01	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	MEDTRONIC PLC USDO.0001	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	MSCI INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	NETAPP INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	NUANCE COMMUNICATIONS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	RAYONIER INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23	RAYTHEON CO COM NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)
24	ROYAL GOLD INC COM ISIN	N/A	\$1,001 - \$15,000		None (or less than \$201)
25	SCHWAB CHARLES CORP NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	SEMGROUP CORP COM STK USDO.01 CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	TEXAS INSTRUMENTS INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
28	UMPQUA HOLDINGS CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	VERIZON COMMUNICATIONS	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
30	WOOD GROUP (JOHN) ORD ISIN	N/A	\$1,001 - \$15,000		None (or less than \$201)
31	YAHOO INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	MAINSTAY S&P 500 INDEX CL A	Yes	\$1,001 - \$15,000		\$201 - \$1,000
33	GLOBAL X FDS GLOBAL X MSCI GREECE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
34	GLOBAL X FDS GLOBAL X URANIUM	Yes	\$1,001 - \$15,000		\$201 - \$1,000
35	ISHARES INC MSCI GERMANY ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
36	ISHARES MSCI SPAIN CAPPED ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
37	POWERSHARES QQQ TR UNIT SER 1	Yes	\$1,001 - \$15,000		None (or less than \$201)
38	PROSHARES TR ULTRA MSCI EMERGIN MKTS	Yes	\$1,001 - \$15,000		None (or less than \$201)
39	PROSHARES ULTRA TECH PROSHARES	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
40	SPDR INDEX SHS FDS EURO STOXX 50 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
41	SPDR SER TR S&P OIL & GAS EXPL & PRODTN	Yes	\$1,001 - \$15,000		None (or less than \$201)
42	VANECK VECTORS ETF TR COAL ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
43	VANECK VECTORS ETF TR INDIA SMALL CAP	Yes	\$1,001 - \$15,000		None (or less than \$201)
44	VANECK VECTORS ETF TR JR GOLD MINERS E	Yes	\$1,001 - \$15,000		None (or less than \$201)
45	VANECK VECTORS ETF TR UNCVTL OIL GAS	Yes	\$1,001 - \$15,000		None (or less than \$201)
46	WISDOMTREE TR EMERGING MKTS HIGH DIVID	Yes	\$1,001 - \$15,000		None (or less than \$201)
47	WISDOMTREE TR EUROPE HEDGED EQ	Yes	\$1,001 - \$15,000		None (or less than \$201)
48	WISDOMTREE TRUST JAPAN HEDGE EQT	Yes	\$1,001 - \$15,000		None (or less than \$201)
49	POWERSHARES EXCH TRADED FD TST II	Yes	\$1,001 - \$15,000		None (or less than \$201)
50	BARCLAYS BANK PLC IPATH BLOOMBERG COFFEE ETN	N/A	\$1,001 - \$15,000		None (or less than \$201)
51	ISHARES SILVER TR ISHARES	Yes	\$1,001 - \$15,000		None (or less than \$201)
52	PROSHARES TR II PROSHARES ULTRA EURO	Yes	\$1,001 - \$15,000		None (or less than \$201)
53	PROSHARES TR II PROSHARES ULTRASHORT EURO EUO	Yes	\$1,001 - \$15,000		None (or less than \$201)
54	TEUCRIUM COMMODITY TR CORN GD SHS	Yes	\$1,001 - \$15,000		None (or less than \$201)
55	UNITED STS COMMODITY INDEX FD COMMODITY	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
56	AWK AMERICAN WATER WORKS	N/A	\$1,001 - \$15,000		None (or less than \$201)
57	CNQ CANADIAN NATURAL RES F	N/A	\$1,001 - \$15,000		None (or less than \$201)
58	DK DELEK US HOLDINGS	N/A	\$1,001 - \$15,000		None (or less than \$201)
59	DVN DEVON ENERGY CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
60	DYN DYNEGY	N/A	\$1,001 - \$15,000		None (or less than \$201)
61	EPD ENTERPRISE PRODUCTS	N/A	\$1,001 - \$15,000		None (or less than \$201)
62	FET FORUM ENERGY TECH	N/A	\$1,001 - \$15,000		None (or less than \$201)
63	OGZPY GAZPROM P JSC F	N/A	\$1,001 - \$15,000		None (or less than \$201)
64	HUSKF HUSKY ENERGY INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
65	LUK LEUCADIA NATIONAL CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
66	MTRX MATRIX SERVICE CO	N/A	\$1,001 - \$15,000		None (or less than \$201)
67	NTAP NETAPP INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
68	NUAN NUANCE COMMUN INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
69	NSH NUSTAR GP HOLDINGS LP	N/A	\$1,001 - \$15,000		None (or less than \$201)
70	NM Public Employee Retirement Plan (PERA), defined benefit plan (value not readily ascertainable)	N/A		retirement payments	
71	OKS ONEOK PARTNERS LP LP	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
72	PEIX PACIFIC ETHANOL INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
73	ISHARES IN MSCI ITALY CAPPED ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
74	PCLN PRICELINE GROUP	N/A	\$1,001 - \$15,000		None (or less than \$201)
75	QIWI QIWIPLC F	N/A	\$1,001 - \$15,000		None (or less than \$201)
76	QRVO QORVO INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
77	SNY SANOFI SPOND F	N/A	\$1,001 - \$15,000		None (or less than \$201)
78	SDRL SEADRILL LTD F	N/A	\$1,001 - \$15,000		None (or less than \$201)
79	SWIR SIERRA WIRELESS INC F	N/A	\$1,001 - \$15,000		None (or less than \$201)
80	SWKS SKYWORKS SOLUTIONS	N/A	\$1,001 - \$15,000		None (or less than \$201)
81	VZ VERIZON COMMUNICATIONS	N/A	\$1,001 - \$15,000		None (or less than \$201)
82	WDC WESTERN DIGITAL CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
83	WES WSTN GAS PARTNERS LP LP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
84	YHOO YAHOO INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
85	YNDX YANDEX N V F CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
86	ENFR ALERIAN ENERGY	Yes	\$1,001 - \$15,000		None (or less than \$201)
87	AMLP ALPS ALERIAN MLP ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
88	BAL BARCLAYS BK IPATH BLOOM ETN	N/A	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
89	JJG BARCLAYS BK IPATH BLOOM ETN	N/A	\$1,001 - \$15,000		None (or less than \$201)
90	DGP DB GOLD DOUBLE LONG ETN	N/A	\$1,001 - \$15,000		None (or less than \$201)
91	FXI ISHARES CHINA LARGE CAP ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
92	SLV ISHARES SILVER TRUST ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
93	ITB ISHARES US HOME	Yes	\$1,001 - \$15,000		\$201 - \$1,000
94	AMJ JP MORGAN CHASE ALERIAN MLP ETN	N/A	\$1,001 - \$15,000		None (or less than \$201)
95	FEZ SPDR EURO STOXX 50 ETF	Yes	None (or less than \$1,001)		None (or less than \$201)
96	GLD SPDR GOLD SHARES ETF	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
97	AMU UBS ETRACS ALERIAN MLP ETN	N/A	\$1,001 - \$15,000		None (or less than \$201)
98	DEM WISDOMTREE EMRG MRKT	Yes	\$1,001 - \$15,000		None (or less than \$201)
99	US BROKERAGE MONEY MARKET ACCOUNT (CASH)	N/A	\$50,001 - \$100,000		None (or less than \$201)
100	US BANK ACCOUNT (CASH)	N/A	\$50,001 - \$100,000		None (or less than \$201)
101	NM PERA SMARTSAVE POS NEWMXCO LFCYCLE 2025	Yes	\$1,001 - \$15,000		\$201 - \$1,000
102	State of NM, General Services Department	N/A		salary	

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US BANK ACCOUNT #1 (CASH)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	US BANK ACCOUNT #2 (CASH)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	US BANK ACCOUNT #3 (CASH)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	US BANK ACCOUNT #4 (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	US BANK ACCOUNT #5 (CASH)	N/A	\$100,001 - \$250,000		None (or less than \$201)
6	RESIDENTIAL REAL ESTATE, WASHINGTON DC	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
7	RESIDENTIAL REAL ESTATE, REDWOOD, ANGEL FIRE NM	N/A	\$50,001 - \$100,000		None (or less than \$201)
8	US Bank Account #6 (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	US CREDIT UNION (CASH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
10	RESIDENTIAL REAL ESTATE, LAFAYETTE, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
11	RESIDENTIAL REAL ESTATE, PLAYER LOOP, RIO RANCHO, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
12	RESIDENTIAL REAL ESTATE, VISTA GRANDE, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
13	RESIDENTIAL REAL ESTATE, SKYWATCHER, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
14	RESIDENTIAL REAL ESTATE, BLOSSOMWOOD, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
15	RESIDENTIAL REAL ESTATE, CORDOVA, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
16	RESIDENTIAL REAL ESTATE, EDITH, ALBUQUERQUE, NM	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	UNDEVELOPED LAND, ANGEL FIRE, NM	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	UNDEVELOPED LAND, RIO ARRIBA COUNTY, NM	N/A	\$15,001 - \$50,000		None (or less than \$201)
19	UNDEVELOPED LAND, VALENCIA COUNTY, NM	N/A	\$1,001 - \$15,000		None (or less than \$201)
20	UNDEVELOPED LAND, SANDOVAL COUNTY, NM	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	RESIDENTIAL REAL ESTATE, HAYES, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
22	RESIDENTIAL REAL ESTATE, MESA MARIPOSA, ALBUQUERQUE, NM	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
23	NORTHWESTERN MUTUAL VARIABLE LIFE INS	No			\$5,001 - \$15,000
23.1	INTERNATIONAL EQUITY(MSA/FRANKLIN TMPL)	Yes	\$15,001 - \$50,000		
23.2	INDEX 500 STOCK (MSA)	Yes	\$15,001 - \$50,000		
23.3	GROWTH STOCK (MSA/THE BOSTON COMPANY)	Yes	\$15,001 - \$50,000		
23.4	SMALL CAP GROWTH STOCK (MSA/WELLINGTON)	Yes	\$15,001 - \$50,000		
23.5	RUSSELL NON-US	Yes	\$1,001 - \$15,000		
23.6	RUSSELL GLOBAL REAL ESTATE SECURITIES	Yes	\$1,001 - \$15,000		
24	CANADIAN NATURAL RES F	Yes	\$1,001 - \$15,000		None (or less than \$201)
25	SPDR GOLD SHARES ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
26	FLIGHT TIME LLC (UNDERLYING ASSET IS NOT REPORTABLE)	N/A			
27	US BANK ACCOUNT #7 (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

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

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	WELLS FARGO 2ND MORTGAGE/EQUITY LINE	Mortgage on Personal Residence	\$100,001 - \$250,000	2013	3.5%	20 YEARS
2	CITIMORTGAGE PRIMARY MORTGAGE	Mortgage on Personal Residence	\$100,001 - \$250,000	2012	4.25%	30 YEARS
3	PNC BANK -- SKYWATCHER	Mortgage (investment/rental property)	\$50,001 - \$100,000	2016	4.125%	19 YEARS
4	PNC BANK -- PLAYER LOOP	Mortgage (investment/rental property)	\$50,001 - \$100,000	2003	6.625%	30 YEARS
5	PNC BANK -- HAYES	Mortgage (investment/rental property)	\$50,001 - \$100,000	2003	6.625%	30 YEARS
6	PNC BANK -- MESA MARIPOSA	Mortgage (investment/rental property)	\$50,001 - \$100,000	2004	6.875%	30 YEARS
7	CITIMORTGAGE -- VISTA GRANDE	Mortgage (investment/rental property)	\$50,001 - \$100,000	2013	4.0%	24 Years
8	CHASE -- BLOSSOMWOOD	Mortgage (investment/rental property)	\$50,001 - \$100,000	2006	6.375	30 YEARS

## 9. Gifts and Travel Reimbursements

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

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### Endnotes

PART	#	ENDNOTE
1.	5	Asset is a plane for personal use.
1.	7	The South Dakota Mines Foundation is a 501(c)3 non-profit. While the title used for board members of the non-profit is "Trustee", the Foundation is not a trust under South Dakota law and I am not a "Trustee" in the legal sense. As President of the South Dakota School of Mines & Technology I am an ex officio board member of the South Dakota Mines Foundation. I do not vote.

# 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.

## 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).

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