

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

### Filer's Information

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**Shulkin, David**

SECRETARY, Department of Veterans Affairs

Date of Termination: 03/28/2018

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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 - 2/2017)

Secretary (2/2017 - Present) See endnote

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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 [electronically signed on 05/05/2018 by Shulkin, David in Integrity.gov] - Filer received a 90 day filing extension.**

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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/ Mitrano, Catherine C, Certifying Official [electronically signed on 07/06/2018 by Mitrano, Catherine C in Integrity.gov]**

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Other review conducted by

**/s/ Kelly, James J, Ethics Official [electronically signed on 06/29/2018 by Kelly, James J in Integrity.gov]**

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Data Revised 07/26/2018

Data Revised 07/24/2018

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

None

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## 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	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)
6	Atlantic Health System 403 B Plan (fixed rate instrument)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7	Control Rad Inc. (radiation reduction technology) stock	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	Questions Patients Need to Ask: Getting the Best Healthcare (Xlibris, Corp.) (value not readily ascertainable)	N/A			None (or less than \$201)
9	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)

### 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

(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	Merle Bari MD and Associates Inc (dermatology practice)	See Endnote	N/A	\$100,001 - \$250,000	Salary and s-corp income
2	Merle Bari MD and Associates SEP IRA	See Endnote	Yes	\$1,000,001 - \$5,000,000	None (or less than \$201)
2.1	BlackRock Funds II, Strategic Income Opportunities		Yes	\$50,001 - \$100,000	\$2,501 - \$5,000
2.2	PIMCO Income Fund P Class		Yes	\$50,001 - \$100,000	\$2,501 - \$5,000
2.3	Templeton Global Bond Fund Advisor Class		Yes	\$1,001 - \$15,000	\$201 - \$1,000
3	JP morgan mid cap growth		Yes	\$15,001 - \$50,000	None (or less than \$201)
4	DFA US Small Cap		Yes	\$15,001 - \$50,000	\$201 - \$1,000
5	dodge and cox Income		Yes	\$50,001 - \$100,000	\$2,501 - \$5,000
6	Amerian Europacific Growth		Yes	\$1,001 - \$15,000	\$2,501 - \$5,000
7	Boston Partners Long Short Research		Yes	\$50,001 - \$100,000	\$2,501 - \$5,000
8	MFS Limited Maturity		Yes	\$15,001 - \$50,000	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	Vanguard Short Term Investment	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10	Metropolitan West Total Return Bond	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11	Allianz Templeton Global Bond Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12	Allianz AZL Russell 1000 Value Index	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
13	Allianz ClearBridge Var Agg Growth	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
14	Allianz Fidelity VIP Mid Cap	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15	Allianz Invesco VI American Value	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16	Allianz MFS VIT Total Return Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
17	Allianz PIMCO VIT Low Duration	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
18	Allianz PIMCO VIT Unconstrained Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
19	Allianz AZL MSCI Global Equity Index	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
20	Allianz AZL Small Cap Stock Index	Yes	\$1,001 - \$15,000		\$201 - \$1,000
21	Allianz Pyramis Total Bond C2	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
22	Dodge and Cox Global Stock	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 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	\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000
4	U.S. bank account #4 (cash)	N/A	\$250,001 - \$500,000	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	\$5,001 - \$15,000
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	\$15,001 - \$50,000
11	U.S. bank account #10 (cash)	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
12	Powershares Commodity Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	I shares S and P Commodity Index	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Nabors Industries Ltd		N/A	\$1,001 - \$15,000		None (or less than \$201)
15	Powershares Global Water ETF Trust G (PIO)		Yes	\$1,001 - \$15,000		None (or less than \$201)
16	Powershares ETF TR II S and P SMCP Low Volatility XSLV		Yes	\$1,001 - \$15,000		None (or less than \$201)
17	Royal Dutch Shell PLC ADR		N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Mellon Capital IV stock Fix to FLTG Bond		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19	Fifth Third Bancorp stock Dep SHS REPSTG	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
20	Everbank CD - tracks Metals		N/A	\$1,001 - \$15,000		None (or less than \$201)
21	PA 529 Conservative Income Portfolio Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)
22	MFS INTL NEW DISCOVERY CL 1		Yes	\$50,001 - \$100,000		\$201 - \$1,000
23	Russell R Global Equity CLS		Yes	\$15,001 - \$50,000		\$201 - \$1,000
24	Vanguard II Mid CAP Index Admiral CL		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
25	GUAM PWR Auth Rev Ser A bond		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
26	Pennsylvania St TPK CommN TPK REV SUB SER B bond		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
27	FIFTH THIRD BANCORP SR NOTE FXD/VAR CPN	See Endnote	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
28	GOLDMAN SACHS GROUP INC Medium Term Note		N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	NELNET CAP EFFICIENT NOTE CENTS VAR	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
30	GENWORTH FINL INC JR SUB NOTE FXD	N/A	\$15,001 - \$50,000	Interest	\$5,001 - \$15,000
31	TRANSCANADA PIPELINES LTD Jr SUB Note	N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
32	BASF	N/A	\$15,001 - \$50,000		None (or less than \$201)
33	Caterpillar INC	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
34	DEERE and Company	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
35	American Funds AMCAP CL F2	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
36	AMERICAN TAX EXCEPT BOND FUND OF AMERICA CL F2	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
37	DODGE AND COX GLOBAL STOCK	Yes	\$15,001 - \$50,000		\$201 - \$1,000
38	Eagle Small Cap Growth CL	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
39	FRANKLIN FEDERAL INTERMEDIATE TERM TAX FREE INCOME ADVISOR	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
40	American INTERNATIONAL GROWTH AND INCOME CL F2	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
41	MFS INTL NEW DISCOVERY CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
42	American NEW PERSPECTIVE CL F2	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
43	NORTHERN SMALL CAP VALUE	Yes	\$1,001 - \$15,000		None (or less than \$201)
44	OPPENHEIMER DEVELOPING MARKETS CLY	Yes	\$15,001 - \$50,000		\$201 - \$1,000
45	VANGUARD MORGAN GROWTH ADMIRAL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
46	VANGUARD MID CAP VALUE INDEX ADMIRAL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
47	VANGUARD INTERMEDIATE TERM TAX EXEMPT ADMIRAL	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
48	TRAVIS COUNTY TX WTR CTL AND IMO DIST 17 bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
49	PriceFalls Inc (on-line retail marketplace)	N/A	\$15,001 - \$50,000		None (or less than \$201)
50	Everbank CD tracks Diversified Metals 5 Year	N/A	\$1,001 - \$15,000		None (or less than \$201)
51	Allianz Life Variable Franklin High Income VIP Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
52	Allianz Life Variable Templeton Global Bond VIP Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
53	T. Rowe Price Retirement 2040 R	Yes	None (or less than \$1,001)		None (or less than \$201)
54	American Funds Europacific GR R3	Yes	\$1,001 - \$15,000		None (or less than \$201)
55	JP Morgan High Yield A	Yes	\$1,001 - \$15,000		None (or less than \$201)
56	PIMCO Total Return R	Yes	\$1,001 - \$15,000		\$201 - \$1,000
57	Vanguard Inflation Protected Secs Adm	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
58	Met Life GTS Fixed Account	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
59	T. Rowe Price Retirement 2020 R	Yes	\$1,001 - \$15,000		\$201 - \$1,000
60	T Rowe Price Retirement 2040 R	Yes	\$1,001 - \$15,000		\$201 - \$1,000
61	American Funds Fundamental Invs R3	Yes	\$15,001 - \$50,000		None (or less than \$201)
62	Vanguard Index 500 Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
63	Met Life GTS Fixed Account	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
64	Janus Balanced CL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
65	Loomis Sayles Bond Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
66	Blackrock Strategic Income Opportunity	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
67	Dodge and Cox International Stock	Yes	\$15,001 - \$50,000		\$201 - \$1,000
68	Dreyfus/Standish Global Fixed Income C	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
69	American Funds International Growth and Income CL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
70	PIMCO Income CL	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
71	Vanguard Mid Cap Value Index Adm	Yes	\$1,001 - \$15,000		\$201 - \$1,000
72	American Capital World Bond Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
73	Fidelity Advisor Mid Cap II Institutional	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
74	American Funds New World CL F2	Yes	\$1,001 - \$15,000		None (or less than \$201)
75	Oppenheimer International Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
76	Vanguard Value Index Value Admiral	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
77	American Funds Europacific Growth CL F2	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
78	American Funds International Growth and Income	Yes	\$1,001 - \$15,000		None (or less than \$201)
79	American Funds New Perspeticve CL F2	Yes	\$1,001 - \$15,000		None (or less than \$201)
80	Northern Small Cap Value	Yes	\$1,001 - \$15,000		None (or less than \$201)
81	Oppenheimer Global CL Y	Yes	\$1,001 - \$15,000		None (or less than \$201)
82	PIMCO Income	Yes	\$1,001 - \$15,000		\$201 - \$1,000
83	Anhueuser Busch Debenture CPN	N/A	\$1,001 - \$15,000		None (or less than \$201)
84	AOL Time Warner CPN note	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
85	Capital One Finl Corp Sub Note	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
86	CISCO SYS INC SR NOTE	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
87	ConocoPhillips Canada FDG CO 1 Note CPN	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
88	EMBARQ Corp Note CPN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
89	Equity Residential Note CPN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
90	GEN ELEC CAP CORP MEDIUM TERM NOTE	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
91	McDonalds Corp Medium Term Note	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
92	Oneok Partners LP SR Note	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
93	United Health GRP Inc Note	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
94	VIACOM INC SUB DEBENTURE CPN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
95	XEROX CORP SR NOTE	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
96	US TREASURY BOND STRIP PRIN PMT	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
97	US TREASURY BOND CPN	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
98	Blackrock Strategic Income Oppty INSTL	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
99	Dodge and Cox Income DODIX	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
100	Fidelity Advisor Mid Cap II	Yes	\$50,001 - \$100,000		None (or less than \$201)
101	Oppenheimer Global CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
102	Templeton Glbal Bond Advisor GL	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
103	Vanguard Energy Admiral	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
104	Vanguard REIT Index Admiral	Yes	\$100,001 - \$250,000		None (or less than \$201)
105	FED National Mtg Assn Benchmark Note	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
106	US Treasury Bond Note CPN	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
107	PIMCO Commodity Real Return Strategy	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
108	Dodge and Cox Global Stock	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
109	Dodge and Cox Income	Yes	\$1,001 - \$15,000		\$201 - \$1,000
110	Franklin High Income Advisor	Yes	\$1,001 - \$15,000		\$201 - \$1,000
111	JP Morgan Mid Cap Growth Select CL	Yes	\$1,001 - \$15,000		None (or less than \$201)
112	Metropolitan West Total Return Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
113	Oakmark International Small Cap	Yes	\$1,001 - \$15,000		None (or less than \$201)
114	Templeton Global Bond Advisor CL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
115	American AMCAP CL F2	Yes	\$1,001 - \$15,000		None (or less than \$201)
116	Blackrock Strategic Income OppTy	Yes	\$1,001 - \$15,000		\$201 - \$1,000
117	DFA US Small Cap Instl	Yes	\$1,001 - \$15,000		None (or less than \$201)
118	DFA Intl Value INSTL	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
119	DFA INTL Real Estate SECS	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
120	Vanguard REIT Index Adm	Yes	\$1,001 - \$15,000		None (or less than \$201)
121	Vanguard Mid Cap Value Index Adm	Yes	\$1,001 - \$15,000		None (or less than \$201)
122	Vanguard Short-Term Investment-Grade	Yes	\$15,001 - \$50,000		\$201 - \$1,000
123	Vanguard Value Index Admiral	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
124	AXA Whole Life Insurance Policy	N/A	\$500,001 - \$1,000,000	Dividends	\$201 - \$1,000
125	AXA Whole Life Insurance Policy	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
126	Franklin Templeton High Yield Tax Free Income	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
127	Vanguard Limited Term Tax Ex Adm	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
128	Vodafone	N/A	\$1,001 - \$15,000		None (or less than \$201)
129	Marathon Oil Corp 6.6% Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
130	Federal National Mortgage Corp 5.375% Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
131	Federal National Mortgage Corp 6.625% Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
132	Wells Fargo and Co stock	See Endnote	N/A	None (or less than \$1,001)	Dividends \$1,001 - \$2,500
133	METLife Inc. stock	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
134	Prudential Financial Inc Bond	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
135	Voya Bond	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
136	XL Group Plc	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
137	ING US Inc JR Sub Note FXD/VAR CPN	See Endnote	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
138	XL CATLIN INS CO	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
139	Thornburg LTD Term Municipal Fund Class I LTMIX	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
140	Vanguard Market Neutral Investor	Yes	\$100,001 - \$250,000		None (or less than \$201)
141	American International Growth and Income CL F2	Yes	\$1,001 - \$15,000		\$201 - \$1,000
142	AQR Managed Future Strategy	Yes	\$1,001 - \$15,000		None (or less than \$201)
143	Fidelity Advisor Mid Cap II	Yes	\$1,001 - \$15,000		\$201 - \$1,000
144	Boston Partners Long Short Research	Yes	\$15,001 - \$50,000		None (or less than \$201)
145	Vanguard Energy	Yes	\$1,001 - \$15,000		None (or less than \$201)
146	Franklin High Income Advisor CL	Yes	\$1,001 - \$15,000		\$201 - \$1,000
147	Allianz Variable Annuity Invesco V.I. American Value	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
148	Allianz Variable Annuity MFS VIT Total Return Bond Portfolio	Yes	\$15,001 - \$50,000		\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
149	Allianz Variable Annuity PIMCO VIT Low Duration Portfolio	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
150	Allianz Variable Annuity PIMCO VIT Unconstrained Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
151	Roberco Boston Partners	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
152	American Century Int Term Fund	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
153	Franklin Intermediate Term	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
154	MFS Limited Term Bond Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
155	Vanguard Short Term Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
156	Southern Co Sub Note	No	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
157	Dominion Res Note	No	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
158	BNSF FDG TR Note	No	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
159	Prudential Finl Jr Note	No	\$100,001 - \$250,000		\$5,001 - \$15,000
160	Allianz Annuity Templeton Global Bond VIP Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
161	Allianz Fund MSCI Global Equity Index	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
162	Allianz Fund AZL Russell 1000 Value Ind	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
163	Allianz Fund Clearbridge Var Agg Growth	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
164	Allianz Fidelity VIP Mid Cap Portfolio	Yes	\$1,001 - \$15,000		\$201 - \$1,000
165	Allianz Fund AZL Pyramis Total Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
166	Allianz Small Cap Stock Index	Yes	\$1,001 - \$15,000		\$201 - \$1,000
167	Schwab Hedged Equity Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
168	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
169	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
170	New York City, NY bond	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
171	MELLON CAP IV stock NORMAL PFD CAP SECS	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Schwab Hedged Index Fund	Purchase	01/02/18	\$15,001 - \$50,000
2	Schwab Hedged Index Fund	Sale	01/18/18	\$1,001 - \$15,000
3	AQR Managed Futures Strategy Fund Class I	Sale	6/4/17	\$100,001 - \$250,000
4	Dreyfus/Standish Global Fixed Income Fund Class I	Sale	8/1/17	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
5	Vanguard Market Neutral Fund Investor Shares	Sale	9/15/17	\$100,001 - \$250,000
6	Vanguard Mid-Cap Value Index Fd Admiral	Sale	8/2/17	\$1,001 - \$15,000
7	Dodge and cox Income	Purchase	2/12/18	\$1,001 - \$15,000
8	MFS Limited Maturity	Purchase	9/15/17	\$15,001 - \$50,000
9	Metropolitan West Total Return Bond	Purchase	5/18/17	\$1,001 - \$15,000
10	JP morgan mid cap growth	Purchase	5/18/17	\$1,001 - \$15,000
11	DFA US Small Cap	Purchase	7/1/17	\$15,001 - \$50,000
12	Amerian Europacific Growth	Purchase	3/16/17	\$1,001 - \$15,000
13	Vanguard Short Term Investment	Purchase	2/12/18	\$1,001 - \$15,000
14	Allianz Templeton Global Bond Fund	Purchase	2/17/17	\$15,001 - \$50,000
15	Allianz AZL Russell 1000 Value Index	Purchase	2/17/17	\$15,001 - \$50,000
16	Allianz ClearBridge Var Agg Growth	Purchase	2/17/17	\$15,001 - \$50,000
17	Allianz Fidelity VIP Mid Cap	Purchase	2/17/17	\$1,001 - \$15,000
18	Allianz Invesco VI American Value	Purchase	2/17/17	\$1,001 - \$15,000
19	Allianz MFS VIT Total Return Fund	Purchase	2/17/17	\$15,001 - \$50,000
20	Allianz PIMCO VIT Low Duration	Purchase	2/17/17	\$15,001 - \$50,000
21	Allianz PIMCO VIT Unconstrained Fund	Purchase	2/17/17	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	Allianz AZL MSCI Global Equity Index	Purchase	2/17/17	\$15,001 - \$50,000
23	Allianz AZL Small Cap Stock Index	Purchase	2/17/17	\$1,001 - \$15,000
24	Allianz Pyramis Total Bond C2	Purchase	2/17/17	\$15,001 - \$50,000
25	Dodge and Cox Global Stock	Purchase	2/12/18	\$1,001 - \$15,000
26	Pro Variable Annuity Allianz Life AZL Morgan Stanley Global Real Estate Fund	Sale	2/17/17	\$1,001 - \$15,000
27	ProVariable Annuity Fund Allianz Life AZL NJF International Value Fund	Sale	2/17/17	\$15,001 - \$50,000
28	Pro Variable Annuity Fund Allianz Life AZL Oppenheimer Discovery Fund	Sale	2/17/17	\$1,001 - \$15,000
29	Pro Variable Annuity Allianz Life Fund PIMCO VIT Commodity Real Return	Sale	2/17/17	\$1,001 - \$15,000
30	Pro Variable Annuity Allianz Life Fund Invesco VI American Value	Sale	2/17/17	\$15,001 - \$50,000
31	Pro Variable Annuity Allianz Life Fund MFS VIT Total Return Bond Portfolio	Sale	2/17/17	\$15,001 - \$50,000
32	Pro Variable Annuity Allianz Life Fund PIMCO VIT Low Duration Portfolio	Sale	2/17/17	\$15,001 - \$50,000
33	Pro Variable Annuity Allianz Life Fund PIMCO VIT Unconstrained Bond Fund	Sale	2/17/17	\$15,001 - \$50,000
34	Dreyfus/Standish Global Fixed Income A	Sale	8/1/17	\$100,001 - \$250,000
35	Pro Variable Allianz Life Franklin High Income VIP Fund	Sale	2/17/17	\$1,001 - \$15,000
36	Pro Variable Allianz Life Fidelity VIP Emerging Markets	Sale	2/17/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
37	Allianz Variable Annuity Global Equity Index Fund	Sale	2/21/18	\$15,001 - \$50,000
38	Allianz Variable Annuity Morgan Stanley Global Real Estate CI 2	Sale	2/21/18	\$1,001 - \$15,000
39	Bank of America stock CAP TR XIV PFD HYBRID INCOME TERM NOTE	Sale	2/17/17	\$50,001 - \$100,000
40	BANK AMERICA CORP stock DEP SHS REPSTG 1/25th preferred level debt	Sale	2/17/17	\$50,001 - \$100,000
41	Roberco Boston Partners	Purchase	3/22/18	\$50,001 - \$100,000
42	American Century Int Term Fund	Purchase	11/23/16	\$250,001 - \$500,000
43	Franklin Intermediate Term	Purchase	12/15/10	\$250,001 - \$500,000
44	MFS Limited Term Bond Fund	Purchase	9/15/17	\$100,001 - \$250,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
Filer's Information	2	Left the Secretary position 3/28/18
3.	4	No further contributions have been made since I left Altantic Health System on July 2, 2015
5.	1	no income received during the reporting period 1/1/18-3/28/18
5.	2	This is a SEP Retirement account that is comprised of EIF accounts- she is not drawing income from this yet
6.	19	no longer held
6.	27	no longer held
6.	132	Divested in April 2017, per EA--CAB
6.	137	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 \$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.

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