

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

## Filer's Information

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**Rosen, Jeffrey A**

Deputy Secretary, Department of Transportation

Report Year: 2018

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Other Federal Government Positions Held During the Preceding 12 Months:

Public Member, Administrative Conference of the United States (8/2013 - 5/2017)

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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/ Rosen, Jeffrey A [electronically signed on 05/15/2018 by Rosen, Jeffrey A 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/ Kaleta, Judith, Certifying Official [electronically signed on 06/11/2018 by Kaleta, Judith in Integrity.gov]**

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Other review conducted by

**/s/ Carlson, Terence W, Ethics Official [electronically signed on 06/05/2018 by Carlson, Terence W in Integrity.gov]**

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U.S. Office of Government Ethics Certification

/s/ Christopher, Dale, Certifying Official [electronically signed on 06/15/2018 by Christopher, Dale in Integrity.gov]

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Data Revised 05/23/2018

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

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Kirkland & Ellis LLP and Kirkland & Ellis International	See Endnote	Washington, District of Columbia	Law Firm	Partner	5/2009	4/2017
2	American Bar Association Section of Administrative Law & Regulatory Practice		Washington, District of Columbia	Non-Profit	Last Retiring Chair	8/2016	5/2017
3	Northwestern University College of Arts & Sciences Board of Visitors		Evanston, Illinois	University/College	Board member	4/2009	5/2017
4	U.S. Chamber of Commerce, Committee on Government Operations, Oversight, and Consumer Affairs		Washington, District of Columbia	Trade Association	Committee Member	9/2012	2/2017
5	Advisory Board of the National Federation of Independent Business Small Business Legal Center		Washington, District of Columbia	Trade Association	Board Member	2/2011	2/2017
6	Jeffrey Adam Rosen Revocable Living Trust (no reportable assets)		McLean, Virginia	Trust	Trustee	12/1996	Present

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Kirkland & Ellis LLP and Kirkland & Ellis International (law firm)	See Endnote	N/A		Partnership Share	\$58,333
2	Kirkland & Ellis LLP, defined benefit plan (value not readily ascertainable)		N/A		Retirement Payments (annual)	\$189,505

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	St. Paul Business Trust, defined benefit plan (value not readily ascertainable) Trust will assume majority of Kirkland pension obligation at age 61	N/A			None (or less than \$201)
4	Vanguard Emerging Markets Stock Index Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5	Vanguard Inflation Protected Securities Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6	Vanguard REIT Index Fund	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
7	Vanguard Total Bond Market Index Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
8	Vanguard Total International Stock Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9	Vanguard Total Stock Market Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
10	VTSAX Vanguard Total Stock Market Index Fund	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
11	SWSXX Schwab Cash Reserves	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
12	CAMBIAR INTL EQUITY FUND INV CL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13	COLUMBIA EMERGING MKTS CONSUMER ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
14	COLUMBIA SMALL CAP INDEX FUND CLASS Z SHARES	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15	DELAWARE EMERGING MKTS FUND CL INSTL CL	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16	ISHARES EDGE MSCI MIN VOL EAFE ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	ISHARES EDGE MSCI USA QUALITY FACTOR ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18	ISHARES MSCI EAFE SMALL-CAP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
19	JOHN HANCOCK FDS III DISCIPLINED VALUE MID CAP FUND	Yes	\$15,001 - \$50,000		\$201 - \$1,000
20	NATIXIS LOOMIS SAYLES GROWTH FUND CL Y	Yes	\$100,001 - \$250,000		None (or less than \$201)
21	OPPENHEIMER INTL GROWTH FUND CL Y SHS	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	PIMCO COMMODITIESPLUS STRATEGY FUND INSTL CL	Yes	None (or less than \$1,001)		\$201 - \$1,000
23	VANGUARD FTSE DEVELOPED MARKETS ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
24	WELLS FARGO SPECIAL SMALL CAP VALUE FUND INSTL CL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
25	US brokerage money market account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
26	Credit Suisse Commodity Return Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Kirkland & Ellis LLP	Chicago, Illinois	I will continue to participate in this defined benefit plan. St. Paul Business Trust will assume majority of Kirkland pension obligation at age 61.	6/1982

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	Kirkland & Ellis LLP	Chicago, Illinois	I will participate in this defined contribution plan, but the firm will not make contributions after my separation.	5/2009

#### 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	Roth IRA: Vanguard Total Stock Mkt Index Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
2	U.S. bank account #2 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	U.S. bank account #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	U.S. bank account #4 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	VEMAX Vanguard Emerging Markets Stock Index Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6	VEUSX Vanguard European Stock Index Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7	VWEAX Vanguard High Yield Corporate Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8	VWIUX Vanguard Intermediate Term Tax Exempt Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
9	Vanguard Prime Money Market Fund	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
10	VBTLX Vanguard Total Bond Market Index Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11	VTIAX Vanguard Total International Stock Index Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
12	VTSAX Vanguard Total Stock Market Index Fund	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
13	FMOXX Fidelity Tax Exempt MMF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
14	FEQTX Fidelity Equity Dividend Income Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15	BSCH Guggenheim Bllshs 2017 Corp Bond ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000
16	BSJH Guggenheim Bulletshares 2017 ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000
17	BSCI Guggenheim Bultsh 2018 Corp Bond ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18	Schwab U.S. Dividend Equity ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	SWSXX Schwab Money Market	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
20	CA ST DEPT WTR RES 5%19 UTIL ELEC DUE 05/01/19	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
21	CA ST ECON RECOV 5%18 DB LTX DUE 07/01/18	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
22	CA ST ECON RECOV 5%18 DB LTX DUE 07/01/18	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
23	DC INCOME TAX 5%23 TAX COMB DUE 12/01/23	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
24	DENTON TX 5%21 GO LTX DUE 02/15/21	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
25	FL ST B/E PUB ED 5%22 TAX EXIT DUE 06/01/22	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26	KING CNTY WA SD #40 5%21 GO UTX DUE 12/01/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
27	MET TRAN AUTH NY 5%23 TRAN COMB DUE 11/15/23 AS (filer divested this asset after the report was initially submitted)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
28	MINNESOTA ST 5%19 GO UTX DUE 08/01/19	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
29	MN PFA REVOLVING 5%23 AUTH POOL DUE 03/01/23	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
30	NY ST PWR AUTH 5%22 UTIL PWR DUE 11/15/22	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
31	NY ST URB DEV CORP 5%27 TAX SPL DUE 03/15/27	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
32	OR ST DEPT ADMN LTR 5%24 VP DUE 04/01/24	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
33	PENNSYLVANIA ST 5.375%20 GO UTX DUE 07/01/20 AS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
34	SANTA CLARA CA FA 4%23 BLDG LEAS DUE 02/01/23 XT	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
35	UNIV CINCINNATI OH 5%25 EDUC PUB DUE 06/01/25	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
36	VA ST PUB SCH AUTH 5%24 SCH IMPT DUE 08/01/24	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
37	VA ST RES AUTH INFR 5%17 AUTH POOL DUE 11/01/17	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
38	WASHINGTON ST 5%17 DB UTX DUE 07/01/17	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
39	BERNSTEIN DIVERSIFIED MUNI PORTFOLIO (SNDPX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
40	TAX-AWARE OVERLAY A PORTFOLIO CLASS 1 (SATOX)	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
41	TAX-AWARE OVERLAY B PORTFOLIO CLASS 1 (SBTOX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
42	AB DISCOVERY GRWTH FUND- ADV (CHCYX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
43	AB DISCOVERY VALUE FUND- ADV (ABYSX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
44	AB SMALL CAP CORE PORTFOLIO ADV CL (SCRYX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
45	BERNSTEIN EMERGING MRKTS PORTFOLIO (SNEMX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
46	BERNSTEIN TAX-MANAGED INT'L PORTFOLIO (SNIVX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
47	AB MULTI-MANAGER ALTERNATIVE FUND	Yes	\$250,001 - \$500,000		None (or less than \$201)
48	WELLS FARGO ADVISORS MONEY MARKET	Yes	\$15,001 - \$50,000		None (or less than \$201)
49	AMER FDS INC FUND AMR A (AMECX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
50	CAPITAL INCOME BLDR CL A (CAIBX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
51	AMER FDS CAP WRLD G/I A (CWGIX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
52	AMER FDS WASH MUTUAL A (AWSHX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
53	AMER FDS INVST CO AMR A (AIVSX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
54	AMERICAN FDS DEV WORLD A (DWGAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
55	VA ST HSG DEV AUTH CPN 3.050% DUE 10/01/22	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
56	FAIRFAX CNTY VA ECON DEV RESIDENTIAL Care 4.7%	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
57	SMYTH CNTY VA PUB IMPT SERA G/OCPN 4.0% 11/01/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
58	VA ST HSG DEV AUTH 2.850% DUE 10/01/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
59	VA SMALL BUSI FING AUTH REV RFDG HAMPTON U	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
60	FAIRFAX CNTY VA IDA REV HC INOVA HLTH 4.0%	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
61	UPPER OCCOQUAN SWR AUTH VA 3% 07/01/44	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
62	POQUOSON VA RFDG G/O 4% 02/15/25	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
63	NEW RIV VY REGL JAIL AUT VA 4.5% 10/01/32	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
64	NEB ELEM & SECONDARY SCH BOYS TOWN 4.750%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
65	VA CLG BLDG AUTH VA EDL FACS REV HIGH ED 4%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
66	VA ST HSG DEV AUTH 2.400% DUE 10/01/20	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
67	VIRGINIA ST HSG DEV AUTH 4.000% DUE 10/01/30	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
68	VA SMALL BUSINESS FING AUTH 5.250% DUE 04/01/26	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
69	A SMALL BUSINESS FING 4.750% DUE 04/01/23	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
70	FAIRFAX CNTY VA ECON DEV AUTH REV WIEHLE AVE	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
71	PRINCE WILLIAM CNTY VA IDA HC REV RFDG NOVANT	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
72	VA ST HSG DEV AUTH RNTL HSG SER F 3.375% 10/1/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
73	ARLINGTON CNTY VA IDA HSP FAC REV RFDG VA HOS	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
74	VA ST HSG DEV AUTH RNTL HSG 3.950% DUE 08/01/23	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
75	ROANOKE VA IDA HSP REV UNREFUND REF CARILLION	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
76	VA CLLG BLDG AUTH VA EDL FACS 4.000% DUE 09/01/30	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
77	VA ST HSG DEV AUTH RNTL HSG SER F 2.900% 10/1/20	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
78	VA ST PUB SCH AUTH RFDG 1997 RESOLUTION 3%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
79	LYNCHBURG VA ECON DEV AUTH EDL FACS REV LYNC	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
80	VA ST HSG DEV AUTH RNTL HSG SERE 4.4% 10/1/40	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
81	VA ST PUB BLDG AUTH PUB FACS REV RFDG SER C	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
82	VA ST HSG DEV AUTH RNTL HSG SER B 3% 8/1/27	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
83	VIRGINIA ST PUB BLDG AUTH PUB FACS REV SER A	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
84	FAIRFAX CNTY VA INDL DEV AUTH REV RFDG INOVA H	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
85	ROANOKE VA ECON DEV AUTH HSP REV RFDG CAROLI	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
86	NORFOLK VA AIRPORT AUTHORITY REVENUE REFUNDING 4.500% 07/01/31	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
87	VA COMWLTH UNIV HLTH SYS AUTH REV GEN 4.25%	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
88	VA ST HSG DEV AUTH RNTL 4.375% DUE 12/01/31	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
89	FAIRFAX CNTY VA IDA REV HC INOVA HLTH SYS PROJ	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
90	VA ST PUB SCH AUTH SPL OBLIG SCH FING 4.25%	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
91	PRINCE WILLIAM CNTY VA IDA HC RFDG NOVANT HLTH	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
92	PRINCE WILLIAM CNTY VA IDA HC REV NOVANT OBLIG	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
93	SPOTSYLVANIA CNTY VA ECON DEV AUTH PUB FAC RE	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
94	DISTRICT COLUMBIA TAX INCREMENT REV CITY MKT	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
95	MAHOMET IL ALT REV SOURCE DB B/E 4.500% 01/01/34	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
96	Guggenheim BulletShares 2016 High Yield Corporate Bond ETF (BSJG)	Yes	None (or less than \$1,001)		\$201 - \$1,000
97	Guggenheim BulletShares 2016 Corporate Bond ETF (BSCG)	Yes	None (or less than \$1,001)		\$201 - \$1,000
98	Pacific Life Flexible Premium Indexed Adjustable Variable Life Insurance: 1-Yr High Par Indexed Account (linked to S&P 500 index)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
99	John Hancock variable life insurance:Blue Chip Growth Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
100	John Hancock variable life insurance: Midcap Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
101	U.S. bank account #5 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
102	U.S. bank account #6 (CDs)	N/A	\$500,001 - \$1,000,000		\$5,001 - \$15,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	AB Discovery Growth Fund - ADV	Purchase	06/05/17	\$1,001 - \$15,000
2	AB Large Cap Growth Fund - ADV	Purchase	06/05/17	\$250,001 - \$500,000
3	AB Discovery Value Fund - ADV	Purchase	06/05/17	\$1,001 - \$15,000
4	AB Value Fund - ADV	Purchase	06/05/17	\$250,001 - \$500,000
5	Berstein Diversified Municipal Portfolio	Purchase	06/05/17	\$15,001 - \$50,000
6	Bernstein Emerging Markets Portfolio	Purchase	06/05/17	\$1,001 - \$15,000
7	Tax-Aware Overlay A Portfolio Class 1	Purchase	06/05/17	\$15,001 - \$50,000
8	Berstein Diversified Municipal Portfolio	Purchase	05/19/17	\$1,001 - \$15,000
9	Bernstein Diversified Municipal Portfolio	Purchase	04/20/17	\$1,001 - \$15,000
10	AB Small Cap Core Portfolio ADV CL	Sale	06/05/17	\$15,001 - \$50,000
11	Adobe Systems Inc	Sale	06/05/17	\$1,001 - \$15,000
12	Aetna Inc	Sale	06/05/17	\$1,001 - \$15,000
13	Allstate Corp	Sale	06/05/17	\$1,001 - \$15,000
14	Alexion Pharmaceuticals Inc	Sale	06/05/17	\$1,001 - \$15,000
15	Altria Group Inc	Sale	06/05/17	\$1,001 - \$15,000
16	American International Group	Sale	06/05/17	\$1,001 - \$15,000
17	American Electric Power	Sale	06/05/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
18	Bank of America Corp	Sale	06/05/17	\$15,001 - \$50,000
19	Bernstein Tax-Managed International Portfolio	Sale	06/05/17	\$1,001 - \$15,000
20	Biogen Inc	Sale	06/05/17	\$1,001 - \$15,000
21	CBS Corp-Class B Non voting	Sale	06/05/17	\$1,001 - \$15,000
22	Capital One Financial	Sale	06/05/17	\$1,001 - \$15,000
23	Cigna Corporation	Sale	06/05/17	\$1,001 - \$15,000
24	Comcast Corporation - Class A Common Stock	Sale	06/05/17	\$15,001 - \$50,000
25	Conagra Brands Inc	Sale	06/05/17	\$1,001 - \$15,000
26	Cisco Systems Inc	Sale	06/05/17	\$1,001 - \$15,000
27	Costco Wholesale Corp	Sale	06/05/17	\$1,001 - \$15,000
28	CVS Health Corp	Sale	06/05/17	\$1,001 - \$15,000
29	Discover Financial Services	Sale	06/05/17	\$1,001 - \$15,000
30	Dollar General Corp	Sale	06/05/17	\$1,001 - \$15,000
31	Dr Pepper Snapple Group	Sale	06/05/17	\$1,001 - \$15,000
32	Eaton Corp PLC	Sale	06/05/17	\$1,001 - \$15,000
33	DXC Technology Co.	Sale	06/05/17	\$1,001 - \$15,000
34	Edwards Lifesciences Corp	Sale	06/05/17	\$1,001 - \$15,000
35	eBay Inc.	Sale	06/05/17	\$1,001 - \$15,000
36	Facebook, Inc. - Class A Common Stock	Sale	06/05/17	\$15,001 - \$50,000
37	Edison Intl	Sale	06/05/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
38	Gilead Sciences Inc	Sale	06/05/17	\$1,001 - \$15,000
39	Fiserv Inc	Sale	06/05/17	\$1,001 - \$15,000
40	Halliburton Co	Sale	06/05/17	\$1,001 - \$15,000
41	Helmerich & Payne Inc	Sale	06/05/17	\$1,001 - \$15,000
42	Hewlett-Packard Co	Sale	06/05/17	\$1,001 - \$15,000
43	HP Inc.	Sale	06/05/17	\$1,001 - \$15,000
44	Intel Corp	Sale	06/05/17	\$1,001 - \$15,000
45	International Business Machines Corp	Sale	06/05/17	\$1,001 - \$15,000
46	Intuitive Surgical Inc	Sale	06/05/17	\$1,001 - \$15,000
47	Kroger Co	Sale	06/05/17	\$1,001 - \$15,000
48	JP Morgan Chase & Co	Sale	06/05/17	\$1,001 - \$15,000
49	Johnson & Johnson	Sale	06/05/17	\$1,001 - \$15,000
50	McKesson Corp	Sale	06/05/17	\$1,001 - \$15,000
51	Merck & Co Inc	Sale	06/05/17	\$1,001 - \$15,000
52	Microsoft Corp	Sale	06/05/17	\$15,001 - \$50,000
53	Nielsen Holdings PLC	Sale	06/05/17	\$1,001 - \$15,000
54	Nike Inc Class B	Sale	06/05/17	\$1,001 - \$15,000
55	Nisource Inc	Sale	06/05/17	\$1,001 - \$15,000
56	Onemain Holdings Inc	Sale	06/05/17	\$1,001 - \$15,000
57	Oracle Corp	Sale	06/05/17	\$1,001 - \$15,000
58	Oshkosh Corp	Sale	06/05/17	\$1,001 - \$15,000
59	Palo Alto Networks Inc	Sale	06/05/17	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
60	PepsiCo Inc	Sale	06/05/17	\$1,001 - \$15,000
61	Pfizer Inc	Sale	06/05/17	\$1,001 - \$15,000
62	The Priceline Group Inc. - Common Stock	Sale	06/05/17	\$1,001 - \$15,000
63	Progressive Corp	Sale	06/05/17	\$1,001 - \$15,000
64	Ross Stores Inc	Sale	06/05/17	\$1,001 - \$15,000
65	Schlumberger Ltd	Sale	06/05/17	\$1,001 - \$15,000
66	Sealed Air Corp	Sale	06/05/17	\$1,001 - \$15,000
67	Starbucks Corp	Sale	06/05/17	\$1,001 - \$15,000
68	Synchrony Financial	Sale	06/05/17	\$1,001 - \$15,000
69	T-Mobile US Inc	Sale	06/05/17	\$1,001 - \$15,000
70	Texas Instruments Inc	Sale	06/05/17	\$1,001 - \$15,000
71	Tyson Foods Inc A	Sale	06/05/17	\$1,001 - \$15,000
72	Unitedhealth Group Inc	Sale	06/05/17	\$1,001 - \$15,000
73	US Bancorp	Sale	06/05/17	\$1,001 - \$15,000
74	Verizon Communications Inc	Sale	06/05/17	\$1,001 - \$15,000
75	Walt Disney Co	Sale	06/05/17	\$1,001 - \$15,000
76	Visa Inc	Sale	06/05/17	\$15,001 - \$50,000
77	Wells Fargo & Co	Sale	06/05/17	\$15,001 - \$50,000
78	Xerox Corp	Sale	06/05/17	\$1,001 - \$15,000
79	Xilinx Inc	Sale	06/05/17	\$1,001 - \$15,000
80	Devon Energy Corp	Sale	05/22/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
81	Dow Chemical	Sale	05/22/17	\$1,001 - \$15,000
82	EOG Resources Inc	Sale	05/22/17	\$1,001 - \$15,000
83	Hess Corp	Sale	05/22/17	\$1,001 - \$15,000
84	Home Depot Inc	Sale	05/22/17	\$15,001 - \$50,000
85	L3 Technologies Inc	Sale	05/22/17	\$1,001 - \$15,000
86	Magna International Inc	Sale	05/22/17	\$1,001 - \$15,000
87	United Technologies Corp	Sale	05/22/17	\$1,001 - \$15,000
88	Cisco Systems Inc	Sale	05/22/17	\$15,001 - \$50,000
89	Vanguard Energy Index Fund Admiral Shares	Sale	05/22/17	\$15,001 - \$50,000
90	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares	Purchase	05/22/17	\$15,001 - \$50,000
91	NORFOLK VA AIRPORT AUTHORITY REVENUE REFUNDING 4.500% 07/01/31	Sale	05/19/17	\$1,001 - \$15,000
92	Conoco Phillips Company	Sale	05/19/17	\$1,001 - \$15,000
93	Chevron Corp	Sale	05/19/17	\$1,001 - \$15,000
94	EQT Corporation	Sale	05/19/17	\$1,001 - \$15,000
95	iShares MSCI Japan ETF New	Sale	05/19/17	\$15,001 - \$50,000
96	Noble Energy Inc	Sale	05/19/17	\$1,001 - \$15,000
97	Allergan Inc	Sale	05/22/17	\$1,001 - \$15,000
98	Eaton Corp PLC	Sale	05/22/17	\$1,001 - \$15,000
99	Aon PLC	Sale	05/22/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
100	Invesco Ltd	Sale	05/22/17	\$1,001 - \$15,000
101	Johnson Controls Inc	Sale	05/22/17	\$1,001 - \$15,000
102	Medtronic Inc	Sale	05/22/17	\$1,001 - \$15,000
103	Nielsen Holdings PLC	Sale	05/22/17	\$1,001 - \$15,000
104	Royal Caribbean Cruises Ltd	Sale	05/22/17	\$1,001 - \$15,000
105	Broadcom Ltd Corp	Sale	05/22/17	\$1,001 - \$15,000
106	AT&T Inc	Sale	05/22/17	\$1,001 - \$15,000
107	Abbott Laboratories	Sale	05/22/17	\$1,001 - \$15,000
108	Activision Blizzard, Inc - Common Stock	Sale	05/22/17	\$1,001 - \$15,000
109	Akamai Technologies Inc	Sale	05/22/17	\$1,001 - \$15,000
110	Alexion Pharmaceuticals Inc	Sale	05/22/17	\$1,001 - \$15,000
111	American Tower Corp A	Sale	05/22/17	\$1,001 - \$15,000
112	Anthem Inc.	Sale	05/22/17	\$1,001 - \$15,000
113	Bank New York Mellon Corp	Sale	05/22/17	\$1,001 - \$15,000
114	Biogen Idec Inc	Sale	05/22/17	\$1,001 - \$15,000
115	BlackRock Inc	Sale	05/22/17	\$1,001 - \$15,000
116	Bristol-Myers Squibb	Sale	05/22/17	\$1,001 - \$15,000
117	Cigna Corporation	Sale	05/22/17	\$1,001 - \$15,000
118	CVS Health Corp	Sale	05/22/17	\$1,001 - \$15,000
119	Canadian Natural Resources Ltd	Sale	05/22/17	\$1,001 - \$15,000
120	Cardinal Health Inc	Sale	05/22/17	\$1,001 - \$15,000
121	Celgene Corp	Sale	05/22/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
122	Citigroup Inc	Sale	05/22/17	\$15,001 - \$50,000
123	Coach Inc	Sale	05/22/17	\$1,001 - \$15,000
124	Comcast Corporation - Class A Common Stock	Sale	05/22/17	\$15,001 - \$50,000
125	Walt Disney Co	Sale	05/22/17	\$1,001 - \$15,000
126	Cooper Cos Inc	Sale	05/22/17	\$1,001 - \$15,000
127	Dun & Bradstreet Corp	Sale	05/22/17	\$1,001 - \$15,000
128	Edison Intl	Sale	05/22/17	\$1,001 - \$15,000
129	Electronic Arts	Sale	05/22/17	\$1,001 - \$15,000
130	Expedia	Sale	05/22/17	\$1,001 - \$15,000
131	Fidelity National Information Services Inc	Sale	05/22/17	\$1,001 - \$15,000
132	Facebook, Inc. - Class A Common Stock	Sale	05/22/17	\$15,001 - \$50,000
133	JP Morgan Chase & Co.	Sale	05/22/17	\$15,001 - \$50,000
134	Johnson & Johnson	Sale	05/22/17	\$1,001 - \$15,000
135	Kroger Co	Sale	05/22/17	\$1,001 - \$15,000
136	Liberty Interactive Corporation - Series A Liberty Interactive Common Stock	Sale	05/22/17	\$1,001 - \$15,000
137	Marriott Intl A	Sale	05/22/17	\$15,001 - \$50,000
138	The Michaels Companies, Inc. - Common Stock	Sale	05/22/17	\$1,001 - \$15,000
139	McDonald's Corp	Sale	05/22/17	\$1,001 - \$15,000
140	Mastercard Inc A	Sale	05/22/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
141	Microsoft Corp	Sale	05/22/17	\$15,001 - \$50,000
142	Monsanto Co.	Sale	05/22/17	\$1,001 - \$15,000
143	Morgan Stanley	Sale	05/22/17	\$15,001 - \$50,000
144	Newell Rubbermaid Inc	Sale	05/22/17	\$1,001 - \$15,000
145	PVH Corp	Sale	05/22/17	\$1,001 - \$15,000
146	Palo Alto Networks Inc	Sale	05/22/17	\$1,001 - \$15,000
147	Pfizer Inc	Sale	05/22/17	\$1,001 - \$15,000
148	PepsiCo Inc	Sale	05/22/17	\$1,001 - \$15,000
149	Philip Morris International	Sale	05/22/17	\$15,001 - \$50,000
150	S&P Global Inc	Sale	05/22/17	\$1,001 - \$15,000
151	Schlumberger Ltd	Sale	05/22/17	\$1,001 - \$15,000
152	Sherwin-Williams Co	Sale	05/22/17	\$1,001 - \$15,000
153	Starbucks Corp	Sale	05/22/17	\$1,001 - \$15,000
154	Stericycle Inc	Sale	05/22/17	\$1,001 - \$15,000
155	Vertex Pharmaceuticals Inc	Sale	05/22/17	\$1,001 - \$15,000
156	Verizon Communications Inc	Sale	05/22/17	\$1,001 - \$15,000
157	Walgreens Boots Alliance Inc	Sale	05/22/17	\$1,001 - \$15,000
158	Zimmer Biomet Holdings Inc.	Sale	05/22/17	\$1,001 - \$15,000
159	Columbia Contrarian Core Fund Class Z	Purchase	06/05/17	\$250,001 - \$500,000
160	Wells Fargo & Co	Sale	05/22/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
161	Delaware Emerging Markets Fund CI Instl CI	Purchase	06/05/17	\$15,001 - \$50,000
162	Natixis Loomis Sayles Growth Fund CI Y	Purchase	06/05/17	\$50,001 - \$100,000
163	Oppenheimer International Growth Y	Purchase	06/05/17	\$15,001 - \$50,000
164	Vanguard FTSE Developed Markets ETF	Purchase	06/05/17	\$50,001 - \$100,000
165	T. Rowe Price Emerging Markets Stock Fund	Purchase	10/23/2017	\$15,001 - \$50,000
166	Principal Midcap Blend Fund Instl CI	Purchase	10/23/2017	\$50,001 - \$100,000
167	Natixis Loomis Sayles Growth Fund CI Y	Purchase	10/23/2017	\$15,001 - \$50,000
168	Oakmark Intl Fund Instl CI	Purchase	10/23/2017	\$100,001 - \$250,000
169	Delaware Small Cap Core Fund CI I	Purchase	10/23/2017	\$100,001 - \$250,000
170	Columbia Contrarian Core Fund CL Y	Purchase	10/23/2017	\$50,001 - \$100,000
171	Cambiar Intl Equity Fund Inv CI	Sale	10/23/2017	\$15,001 - \$50,000
172	Cohen & Steers Institutional Realty Shares	Sale	10/23/2017	\$15,001 - \$50,000
173	Columbia Small Cap Index Fund Class Z Shares	Sale	10/23/2017	\$15,001 - \$50,000
174	Wells Fargo Special Small Cap Value Fund Instl CI	Sale	10/23/2017	\$15,001 - \$50,000
175	Vanguard Total Stock Market Idx Adm	Purchase	11/16/2017	\$500,001 - \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
176	Schwab Govt Money Fund (SWGXX)	Purchase	12/04/2017	\$1,001 - \$15,000
177	Schwab Govt Money Fund (SWGXX)	Purchase	11/02/2017	\$15,001 - \$50,000
178	Schwab Govt Money Fund (SWGXX)	Purchase	10/03/2017	\$15,001 - \$50,000
179	Schwab Govt Money Fund (SWGXX)	Purchase	09/18/2017	\$1,001 - \$15,000
180	Schwab Govt Money Fund (SWGXX)	Sale	09/05/2017	\$1,001 - \$15,000
181	Schwab Govt Money Fund (SWGXX)	Purchase	08/02/2017	\$1,001 - \$15,000
182	Schwab Govt Money Fund (SWGXX)	Purchase	07/05/2017	\$15,001 - \$50,000
183	Schwab Govt Money Fund (SWGXX)	Purchase	06/02/2017	\$1,001 - \$15,000
184	AB Multi-Manager Alternative Fund	Purchase	12/29/2017	\$1,001 - \$15,000
185	Bernstein Diversified Municipal Portfolio	Purchase	12/20/2017	\$1,001 - \$15,000
186	AB Discovery Value Fund-Adv	Purchase	12/19/2017	\$1,001 - \$15,000
187	AB Value Fund-Adv	Purchase	12/19/2017	\$1,001 - \$15,000
188	Tax-Aware Overlay A Portfolio Class 1	Purchase	12/19/2017	\$1,001 - \$15,000
189	Tax-Aware Overlay B Portfolio Class 1	Purchase	12/19/2017	\$1,001 - \$15,000
190	AB Discovery Grwth Fund-Adv	Purchase	12/18/2017	\$1,001 - \$15,000
191	AB Large Cap Grwth Fund-Adv	Purchase	12/18/2017	\$1,001 - \$15,000
192	Bernstein Tax-Managed International Portfolio	Purchase	12/12/2017	\$1,001 - \$15,000
193	Bernstein Diversified Municipal Portfolio	Purchase	11/20/2017	\$1,001 - \$15,000
194	Bernstein Diversified Municipal Portfolio	Purchase	10/20/2017	\$1,001 - \$15,000
195	Bernstein Diversified Municipal Portfolio	Purchase	09/20/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
196	Bernstein Diversified Municipal Portfolio	Purchase	08/18/2017	\$1,001 - \$15,000
197	Bernstein Diversified Municipal Portfolio	Purchase	07/20/2017	\$1,001 - \$15,000
198	Bernstein Diversified Municipal Portfolio	Purchase	06/20/2017	\$1,001 - \$15,000
199	AB Large Cap Grwth Fund-Adv	Purchase	06/06/2017	\$1,001 - \$15,000
200	AB Value Fund-Adv	Purchase	06/06/2017	\$1,001 - \$15,000
201	Bernstein Diversified Municipal Portfolio	Sale	10/24/2017	\$1,001 - \$15,000
202	Bernstein Diversified Municipal Portfolio	Sale	07/26/2017	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Citibank	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2013	3.375%	30 years
2	Citibank	Mortgage on Personal Residence	\$50,001 - \$100,000	2013	3.5% fixed	3/1 yr ARM

## 9. Gifts and Travel Reimbursements

None

## Endnotes



PART	#	ENDNOTE
1.	1	I will not receive any additional compensation, including partnership share, from Kirkland & Ellis. I have already received a return of capital.
2.	1	This number represents the filer's entire cash compensation as a partner during the reporting period.

# Summary of Contents

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

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### **6. Other Assets and Income**

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

#### **7. Transactions**

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## **8. Liabilities**

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## **9. Gifts and Travel Reimbursements**

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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