

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

Filer's Information

Pompeo, Michael

Secretary of State, Department of State

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

Director, Central Intelligence Agency (1/2017 - 4/2018)

Secretary of State (4/2018 - Present)

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/ Pompeo, Michael [electronically signed on 05/13/2019 by Pompeo, Michael in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Huitema, David, Certifying Official [electronically signed on 06/11/2019 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 06/14/2019 by Granahan, Megan in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Revocable Family Trust #1	Wichita, Kansas	Trust	Trustee	1/2007	Present
2	Revocable Family Trust #2	Wichita, Kansas	Trust	Trustee	1/2007	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Vanguard Prime Money Market (IRA)	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA Account	No		cash distribution	\$18,000
1.1	JP Morgan Large Cap Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	Vanguard Growth Index ADM	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	Dodge & Cox Income DODIX	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	Palmer Square Income Plus	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	DFA US Large Cap Value 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.6	T Rowe Price Mid Cap Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.7	Vanguard Reit Index ADM	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Principal Preferred Securities Inst	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.9	Delaware Value	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.10	DFA US Small Cap	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.11	Lazard US Corporate Income	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	Eaton Vance Floating Rate I	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	Guggenheim Total Return Bond Instl	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.14	T. Rowe Price Mid-Cap Value	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	Oppenheimer Developing Markets I	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	DFA international Small Cap Value I	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	IVY International Core Equity I	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.18	MFS International Value R6	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.19	Fidelity U.S. Bond Index Fund Institutional Premium Class	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.20	U.S. Brokerage Money Market Account	N/A	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Northwestern Mutual Life Insurance (whole life)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	US bank account #1 (cash account)	N/A	\$100,001 - \$250,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	DFA US Large Cap Value I	Sale	01/24/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
2	IVY International Core Equity I	Sale	01/24/2018	\$1,001 - \$15,000
3	Vanguard Growth Index ADM	Sale	01/24/2018	\$1,001 - \$15,000
4	JPMorgan Large Cap Growth CL I	Sale	01/24/2028	\$1,001 - \$15,000
5	Salient MLP & Energy Infrastructure II Class I	Sale	03/28/2018	\$1,001 - \$15,000
6	Nuance Tortoise MLP & Pipeline Inst	Sale	03/28/2018	\$1,001 - \$15,000
7	Vanguard Interm Term Bond Index Adm	Sale	06/28/2018	\$1,001 - \$15,000
8	Fidelity U.S. Bond Index Fund Institutional Class	Exchange	11/02/2018	\$1,001 - \$15,000
9	Fidelity U.S. Bond Index Fund Institutional Premium Class	Exchange	11/02/2018	\$1,001 - \$15,000
10	Oppenheimer Developing Markets I	Purchase	01/24/2018	\$1,001 - \$15,000
11	Nuance Tortoise MLP & Pipeline Inst	Purchase	01/24/2018	\$1,001 - \$15,000
12	Vanguard Real Estate Index Fund Admiral Shares	Purchase	01/24/2018	\$1,001 - \$15,000
13	Delaware Value Instl	Purchase	01/24/2018	\$1,001 - \$15,000
14	Dodge & Cox Income Fund	Purchase	01/24/2018	\$1,001 - \$15,000
15	MFS International Value R6	Purchase	01/26/2018	\$1,001 - \$15,000
16	Delaware Value Instl	Purchase	03/28/2018	\$1,001 - \$15,000
17	DFA US Large Cap Value I	Purchase	03/28/2018	\$1,001 - \$15,000
18	JPMorgan Large Cap Growth CL I	Purchase	03/28/2018	\$1,001 - \$15,000
19	Vanguard Growth Index Adm	Purchase	03/28/2018	\$1,001 - \$15,000
20	Fidelity U.S. Bond Index Fund Institutional CL	Purchase	06/27/2018	\$1,001 - \$15,000
21	JPMorgan Large Cap Growth CL I	Purchase	12/13/2018	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	T. Rowe Price Mid-Cap Growth I	Purchase	12/14/2018	\$1,001 - \$15,000
23	Delaware Value Instl	Purchase	12/24/2018	\$1,001 - \$15,000
24	DFA US Large Cap Value	Purchase	12/19/2018	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Prosperity Home Mortgage Loan Servicing	See Endnote	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2017	3.75	30 years

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
8.	1	Residence was sold and mortgage paid in full in 2018.

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.

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